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Monitoring and Evaluation Program

Evaluation of USAID's Afro-Colombian and Indigenous Program (ACIP)

Baseline Report



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USAID/Colombia Monitoring and
Evaluation Program

Evaluation of USAID's Afro-Colombian
and Indigenous Program (ACIP)

Baseline Report

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ACRONYMS

ACIP	Afro-Colombian and Indigenous Program
CBO	Community-based Organization
CBPS	Covariate Balancing Propensity Score
CSO	Civil Society Organization
CTR	Control Group
DANE*	National Department of Statistics (<i>Departamento Administrativo Nacional de Estadística</i>)
DD	Difference in Difference
DMC*	Mobile devices to capture information (<i>Dispositivos móviles para la captura</i>)
ELCSA*	Latin American and Caribbean Scale for measuring household food security
EOCA	Ethnic Organizational Capacity Assessment
GOC	Government of Colombia
ICAE	Institutional Capacity for Attention to Ethnic Minority Needs (ICAE) (<i>Índice de Capacidad Institucional de Atención Étnica</i>)
INCODER*	Colombian Rural Development Institute
KAP	Knowledge, Attitudes and Practices
LOP	Life of Project
PDD*	Departmental Development Plan
PDM*	Municipal Development Plan
R1	Result 1
R2	Result 2
R3	Result 3
R4	Result 4
RDD	Regression Discontinuity Design
GRS	General Royalties System
SOW	Scope of Work
TRM	Treatment Group
USAID	United States Agency for International Development

* Spanish Acronym

EXECUTIVE SUMMARY

The present document corresponds to the baseline study to determine the initial conditions of the Afro-Colombian and Indigenous Program (ACIP) target population. ACIP is the first stand-alone USAID program with the primary objective of improving the lives of Afro-Colombian and indigenous persons. The USAID grantee ACDI/VOCA implements ACIP under Cooperative Agreement No. AID-514-A-11-00004, dated August 30, 2011. ACIP life of project (LOP) implementation is from August 30, 2011 through August 29, 2016.

The purpose of the five-year \$61.4 million program is to increase the socio-economic and political inclusion of the Afro-Colombian and indigenous populations in the Pacific, Caribbean and Central Regions. Ethnic minority populations are among the most marginalized groups in the country and suffer from exploitation, inequality, poverty, discrimination, exclusion, displacement, violence, feelings of invisibility, and breakdowns in social structures and identity.

ACIP works to advance this through four end-stage results: R1: State Institutional Capacity Strengthened; R2: Ethnic Minority Community-based Organizations Strengthened; R3: Ethnic Minority Access to Economic Opportunities Increased; and R4: Positive Messaging of Ethnic Issues Increased and one Intermediate Result (Increase the right to land for ethnic communities) that contributes to the achievement of the other four results.

This baseline study was designed to gather the data necessary to later test the following development hypothesis with an impact evaluation:

The significant and sustainable change in the socioeconomic and political inclusion of indigenous and Afro-Colombian populations in the targeted areas is a result of ACIP's integrated set of interventions at the institutional, community and individual levels by: *“supporting effective public policy implementation, resource investment, and ethnic-sensitive information systems; building capacity of community-based organizations for effective governance and advocacy; increasing access to urban and rural economic opportunities; and increasing education and awareness about ethnic minority issues.”*¹

The evaluation methodology to be employed to test the proposed hypothesis in the impact evaluation phase will be a mixed methods approach in which *“the researcher mixes or combines quantitative and qualitative research techniques, methods, approaches, concepts or language into a single study.”*² This mixed methods approach takes into account the different levels of government and actors targeted by ACIP across its results areas. ACIP plans to incorporate ethnic communities (indigenous and Afro-Colombian), general population, state officials (national and territorial), and representatives of community based organizations (CBOs).

The methodology designed to test the development hypothesis is a quasi-experimental design. Two methodologies will be used (Covariate Balancing Propensity Score Matching

¹ ACDI/VOCA (2012), pg. 4.

² Johnson & Onwuegbuzie (2004), pg. 17.

(CBPS) and Difference in Difference (DD)) to control for differences between control and treatment groups identified and allow inferences to be made about the target population universe for Result 3. For Result 4, an intensity analysis will be carried out (observation of exposure effect over time). These analyses will be complemented with qualitative data gathered from beneficiaries targeted under Results 1 and 2. It is important to highlight that only Results 3 and 4 have a control group, which provides the basis for a future impact evaluation that can attribute causality of ACIP interventions. For Result 1, interviews were conducted with “comparison” institutions/organizations; however, no rigorous control sample was created using randomization or matching techniques. As a result, for results 1 and 2 it will be impossible to attribute causality of effects to ACIP interventions, as there is no control group that serves as a counterfactual to the results obtained by the treatment group that received ACIP interventions.

The baseline study presents the initial conditions of the State institutions, organizations, individuals and households targeted by ACIP. It is important to note that the baseline study was conducted after some of the interventions had already initiated. Under Result 1, ACIP advised state entities on the construction of local development plans, which included ethnic minority component in 2012. Interventions under Results 2, 3, and 4 began in 2013. However, interventions were not fully implemented by the time the baseline study was started in June 2013. At this time 32 ACIP activities were completed, representing only 1.5% of the total obligated funding for the 5-year Program.³ Thus, it is not expected this will have major effects on baseline data.

Baseline evaluation data collection was conducted over a two month period, June 10 to August 8, 2013. When possible, efforts were made to include questions to reflect the situation in 2012, such as in the ICAE questionnaire for Result 1 and in the urban questionnaires for Result 3. These questions help to recover the situation prior to ACIP interventions. The analysis of the data collected for the baseline is as follows:

Result 1: Strengthen State institutional capacity. A structured interview instrument was developed⁴ to measure the baseline situation under Result 1. Interviews were conducted at national, departmental and municipal State institutions that are expected to receive the intervention (i.e., treatment group), as well as at departmental and municipal institutions that are not targeted by ACIP (i.e., comparison group). The structured interviews were designed to explore individual questions and secondary information related to each institution and to construct an Institutional Capacity for Attention to Ethnic Minority Needs (ICAE) .

Nineteen complete interviews were conducted among the treatment group, out of an expected 24 interviews. One interview was partially completed, and four interviews were not possible to conduct (rejected or impossible to contact). Among the five interviews

³ The total funding for the 32 completed activities by June 2013 is \$897,000 USD out of a total of \$61.4 million total planned USAID obligations for ACIP. (SOURCE: Activity data registered in MONITOR data as of September 2013)

⁴ A proprietary instrument was designed by ACDI/VOCA in collaboration with CONSUCOL, to measure the institutional capacity for attention to ethnic minority needs (ICAE). The instrument’s design was being finalized when the baseline survey construction began. The Monitoring and Evaluation Program provided comments on the design of the tool.

scheduled among comparison State entities, three complete and two incomplete interviews were conducted.

The institutional capacity for attention to ethnic minority needs was found to be low among treatment and comparison entities. The average score for the treatment state entities was 46.9 out of a maximum of 100 points. Index scores ranged between 32.8 (in the Mayor's Office of Cartagena) and 62.0 (in the Mayor's Office of Maicao). National entities had slightly higher scores (45.2) than municipal and departmental entities.

Of the variables that make up the ICAE, institutional public policy and planning capacity received the lowest scores. These results suggest that institutions at different levels do not contribute to the formulation of laws and decrees concerning matters related to ethnic communities.

State institutions received the highest scores on the information systems and organizational and human resources capacity indicators. Institutions reported having developed management reports with information related to the ethnic communities and having offices, formal working groups and staff dedicated to addressing ethnic community issues.

Result 2: Strengthen community based organizations. Ethnic Minority Community Based Organizations (CBOs) and Ethnic Territorial Organizations were assessed under Result 2. A semi-structured interview was conducted with these organizations to collect information to assess Ethnic Organizational Capacity.⁵ Information was gathered to rate organizational strengths and areas where strengthening is needed in five areas: democracy and participation, autonomy and management, cultural identity, social and human development, management and territory control, representation and advocacy. The interviews provided information on the participation of women and youth in organizations, that will be targeted for participation in ACIP interventions.

Of the 45 interviews to be conducted with treatment organizations, 42 were carried out (16 CSOs and 26 traditional authorities operating in ethnic territories).

Organizations identify that women's and youth participation is low and that it needs to be strengthened. A small percentage of organizations identify women or youth in leadership positions as an organizational strength, 28.6% and 14.3% respectively. The need to strengthen youth leadership was supported widely by qualitative data.

Fifty percent of organizations identified a need for training for leadership roles and rotation of leadership roles.

Sixty percent of the organizations identified capital of their own for operation as an outstanding need for strengthening.

⁵ The interview was developed to gather similar information that is gathered through ACIDI/VOCA's proprietary Ethnic Organizational Capacity Assessment (EOCA) tool. Up through June 2013, ACIP has implemented its tool among 25 organizations through focus groups held with organization members.).

Ethnic Territorial Organizations identified that no or few conflict management mechanisms exist, and that they would welcome support in this area.

Organizations identified that there are few opportunities to participate and be represented in decision making processes (i.e., Municipal Council, the Territorial Planning Council and the Municipal Planning Council) and, there is a need to be involved. Involvement in decision making is further hampered by low levels of knowledge regarding current policies affecting the communities (i.e., Victims', Anti-discrimination and Land Restitution Laws).

Result 3: Increase access to economic opportunity for ethnic minorities. In order to collect data to measure progress towards Results 3 and 4, rural households and urban individuals from ethnic communities were surveyed in-person. Households in rural areas and individuals in urban areas were chosen, as this corresponds to ACIP's strategic models and therefore the units of analysis. These groups were divided into treatment (individuals that are targeted for participation in ACIP's interventions) and control groups (ethnic minorities that are not targeted for participation in ACIP's interventions). The treatment group was drawn from lists of beneficiaries provided by ACDI/VOCA. In the urban area, the control group was drawn from individuals who demonstrated interest in participating in the project, but were not ultimately selected. In the rural area, the control group was selected from households with similar conditions located in different communities from the treatment group.

Of the 1400 surveys planned for the urban sample for the R3 and R4 survey modules (700 treatment and 700 control), a total of 1410 surveys were conducted with individuals (741 treatment and 669 control). These surveys were conducted among the universe of treatment and control individuals that applied for the ACIP job training courses in Barranquilla, Bogotá and Cali. A total of 527 surveys were conducted in Barranquilla, 390 in Bogotá and 493 in Cali. In total, 533 surveys were applied to men and 877 to women.

Of the 1000 surveys planned for the rural sample for the R3 and R4 survey modules (500 treatment and 500 control), a total of 996 household surveys were conducted (495 treatment and 501 control). These surveys were conducted among the universe of treatment and control households in rural projects in Cesar and Magdalena (380 interviews) and in Chocó (380 interviews). 612 surveys were collected from indigenous persons and 378 from Afro-Colombians.

The CBPS method indicates that treatment and control groups are similarly likely to participate in ACIP's Result 3 rural and urban interventions. Overall, few differences of basic characteristics were found between treatment and control groups.⁶ Therefore, there is evidence that the groups are comparable and an eventual impact evaluation could be carried-out.

Employment status was similar for treatment and control groups in 2012 before ACIP initiated its efforts. However, in the treatment group, female employment rates and job

⁶ Any differences can be controlled for in an eventual impact evaluation with the Difference in Difference method.

quality were lower than among males. There are high levels of informal employment among both treatment and control groups. Monthly income in the urban area is less than US \$200 per month, less than the current Colombian minimum wage of around \$320 in 2013 (\$589,500 COP).⁷

Among the rural households surveyed, monthly expenditures were reported to be around US \$550; this was similar for both treatment and comparison groups. Treatment group respondents reported greater land area (for production), lower annual sales, lower levels of monthly income as well as greater production of food products that were consumed by the family in comparison with the control group.⁸ Around 60% of rural households (treatment and control) reported that they experience severe food insecurity. Survey participants reported low levels of female participation in productive activity decision making.

There are significant differences between indigenous and Afro-Colombian rural households. Afro-Colombians reported greater expenditures and higher income than indigenous households. Yet, they also reported suffering higher levels of food insecurity. Indigenous households reported producing more food for auto-consumption and having a greater area of land on average. Afro-Colombian households reported more often than indigenous households that women are empowered; while around 70% of Afro-Colombian women make decisions on food expenditure, only approximately 50% of indigenous women do so, furthermore as 30% of Afro-Colombian women have a take on the production activity, only approximately 20% of indigenous women do so

Result 4: Increase positive messaging of ethnic minority issues. In addition to the survey modules described under Result 3, an additional telephone survey was conducted to gather information from non-ethnic communities for activities under Result 4. Seven hundred twenty-four telephone surveys were conducted among urban residents (out of a planned 720 surveys) and 481 surveys were conducted among rural residents (out of a planned 480 surveys).

In general, there are positive perceptions and attitudes from both ethnic minority and non-ethnic populations regarding diversity and inclusion, political and economic inclusion, and non-discrimination. Statements about each issue were asked to the respondents in order to get an answer on how much they agreed or believed the statements occurred to the ethnic population. Positive perceptions and attitudes are lower among the rural ethnic minority sample.

Urban individuals from ethnic minority populations were more likely than rural counterparts to report positive perceptions in regards to political and economic inclusion (e.g., they could easily find employment) (54.3% for urban vs. 12.1% for rural).

Rural ethnic minority individuals surveyed (as compared to rural non-ethnic and urban respondents) were more likely to state that they would feel uncomfortable with having an Afro-Colombian as a neighbor or son/daughter-in-law. Once the analysis is made among

⁷ **Source:** Ministry of Labour and National Government decrees; <http://obiee.banrep.gov.co>

⁸ See footnote 4.

indigenous and Afro-Colombians, the result is that intra ethnic discrimination is not common. However, indigenous people are more likely to feel uncomfortable with having an Afro-Colombian as a neighbor.

Self-identification as a member of minority group is higher among the rural ethnic population. In regards to self-recognition by ethnicity in the rural areas, the indigenous population is more likely to self-identify as indigenous than Afro-Colombians.

1. INTRODUCTION

The objective of the baseline study is to determine the initial conditions of the Afro-Colombian and Indigenous Program (ACIP) target population, in general and in terms of the specific objectives of strengthening the Government of Colombia's (GOC's) capacity to develop and implement pro-minority public policies, implement its resources effectively, and improve its minority information systems; strengthening the capacity of ethnic minorities to engage in advocacy and governance and access economic opportunities, and increasing positive messaging regarding ethnic minority issues. The statistically rigorous description of these initial conditions based on the baseline study will contribute to later performance and impact ACIP evaluations.

This document is divided into six chapters. This includes an introduction (Chapter 1), a description of ACIP (Chapter 2), a description of the study methodology (Chapter 3), detailed information on the data and variables selected for analysis (Chapter 4), results of the baseline data collection (Chapter 5), and conclusions (Chapter 6). The conclusion section of this document responds to the key ACIP performance and impact evaluation questions raised by USAID.

Six annexes provide additional detail on study methodology, data collection tools, and results:

- A1. ICAEs Calculations
- A2. Analysis ICAEs by type of institutions
- A3. Analysis by type of organizations
- A4. Comparison EOCAs and interview results
- A5. Urban variables disaggregated
- A6. Rural variables disaggregated

2. DESCRIPTION OF THE AFRO-COLOMBIAN AND INDIGENOUS PROGRAM (ACIP)

The Afro-Colombian and Indigenous Program (ACIP) is the first USAID/Colombia program to be developed specifically for Afro-Colombian and indigenous populations. The USAID grantee, ACDI/VOCA, implements ACIP under Cooperative Agreement No. AID-514-A-11-00004, dated August 30, 2011. ACIP's period of performance is August 30, 2011 through August 29, 2016. The main objective of ACIP is to strengthen the Colombian government's capacity to develop and implement pro-minority public policies, so as to increase socio-economic and political inclusion of Afro-Colombian and indigenous populations.

ACIP works directly with local communities in order to strengthen their capacity and thus to ensure the sustainability of the program, so that it will result in improved political, economic and social inclusion. In addition to specific activities, ACIP incorporates cross-cutting themes that promote gender equality and youth participation. Other cross-cutting themes to be reflected in ACIP's activities include the promotion of a culture of legality and efforts to improve the living conditions of beneficiaries by supporting enhanced livelihoods, food security and environmental protection.

ACIP efforts are divided over three regions: Caribbean, Pacific and Central. The Caribbean Region is covered by ACIP's regional offices in Cartagena and San Andrés and is operationally divided into three target areas: (1) Metropolitan areas of Cartagena, Barranquilla and Santa Marta; (2) Rural areas of La Guajira and the Sierra Nevada of Santa Marta, and (3) San Andrés and Providencia. The Pacific Region, covered by the ACIP's regional offices in Quibdó, Popayán and Cali, centers its actions on two urban centers (Quibdó and Cali) and the rural areas of Chocó and Cauca. Finally, the Central Region, where the Bogotá central office is located, includes the two largest Colombian cities (Bogotá and Medellín) where a high concentration of Afro-Colombian and indigenous populations reside.

ACIP is designed to achieve four results and one intermediate result:

Result One: State institutional capacity strengthened. ACIP is building the institutional capacity of key institutions in the Government of Colombia (GOC), from the national to municipal levels, in three main areas: strengthening the development and implementation of pro-minority policies, improving State planning and investment of public resources in ethnic communities, and ensuring that State information systems capture ethnic minority variables to improve monitoring of policy implementation for Afro-Colombian and indigenous persons.

Result Two: Ethnic minority community-based organizations strengthened. Counterpart to increased State capacity to attend to the needs of ethnic minorities is the imperative to build the organizational capacity of ethnic minority communities to advocate

for their rights, hold government accountable and autonomously govern their ethnic territories. To this end, ACIP strengthens governance and advocacy by Afro-Colombian and indigenous community-based organizations (CBOs), which include urban civil-society organizations (CSOs) and traditional authorities operating in ethnic territories.

Intermediate Result: Rights to land for ethnic communities increased. ACIP works with Afro-Colombian and indigenous communities to ensure legal land tenure, enabling greater protection of traditional ethnic territories, economic security and natural resource management. The Program builds the capacity of community-level ethnic territorial organizations in land use planning and negotiation with the GOC regarding territorial land rights and collective titling. ACIP also provides technical assistance to the Ethnic Affairs Department of the Colombian Institute for Rural Development (INCODER)—the State entity responsible for collective land titling—to respond to land formalization, expansion, and clarification requests presented by ethnic communities.

Result 3: Ethnic minority access to economic opportunities increased. In alliance with the private sector, ACIP's strategy to increase access to economic opportunities takes into account the multiple challenges that these minority communities face, as well as the differentiated conditions of the urban and rural target areas. In response to market-driven, private-sector-led opportunities, ACIP enhances ethnic minority workforce employability in targeted urban areas and further facilitates job placement by engendering an enabling environment in the private sector through workplace diversity protocols. In rural areas, ACIP collaborates with the private sector and rural producer associations to ensure product competitiveness in existing markets and sustainable public-private alliances in high-potential value chains.

Result 4: Positive messaging of ethnic minority issues increased. ACIP increases awareness and understanding of ethnic minority issues in targeted intervention areas through the strategic dissemination of positive messages. To add value and ensure sustainability of Program interventions, the activities developed in this line of action build upon and reinforce the impact and reach of the Program by conducting strategic efforts to capitalize on activities concerning State institutional capacity, community-based organizations, land rights, economic opportunities, and protection of cultural heritage. The strategic communications are tailored to the specific messaging needs within each region.

3. OBJECTIVES & METHODOLOGY SELECTED FOR STUDY DESIGN

Objectives

The objective of the baseline survey is to determine the initial conditions of the Afro-Colombian and Indigenous Program (ACIP) objective population. The baseline is guided by the specific objectives of strengthening the Government of Colombia's (GOC's) capacity to develop and implement pro-minority public policies, execute its resources effectively and improve its ethnic minority information systems; enhancing the advocacy and governance capacities of ethnic minorities; increasing access to economic opportunities; and increasing positive messaging regarding ethnic minority issues. A statistically rigorous description of these initial conditions will contribute to later performance and impact evaluations of ACIP. The performance and impact evaluations will include three phases, (a baseline and two follow-ups), and will comply with the USAID Evaluation Policy.⁹

The baseline survey will help determine the nature and extent of changes among targeted beneficiaries that can be attributed to ACIP. Specifically, the baseline survey will contribute to responding to the performance and impact evaluation questions listed in Table 3.1.

⁹ See USAID Evaluation Policy January 2012, Annex 1 for guidance to follow on performance and impact evaluations.

Table 3.1 Key ACIP Baseline Questions¹⁰

Evaluation Question	Strategic Level
1. To what extent has the Program increased the socio-economic and political inclusion of ethnic minorities in the Program's targeted intervention areas?	Objective
2. To what extent has GOC attention to the needs of ethnic minorities increased? - To what extent has the capacity of the GOC to protect and grant ethnic minorities their legal and political land rights increased?	Result 1 and IR-A
3. To what extent did CBOs participate in policy design and enforcement processes (i.e., free, prior, and informed consent (FPIC) processes)?	Result 2
4. To what extent has governance improved in ethnic territories?	Results 1 & 2
5. To what extent has ACIP increased economic opportunities for Afro-Colombian and indigenous populations? - rural area: Program contribution to value chain sustainability and market alliances? – urban area: To what extent has the Program increased formal employment for ethnic minorities?	Result 3
6. What has been the contribution of the program to improve self-identification/self-image and the acceptance of ethnic diversity within the Colombian population as a whole?	Result 4
7. How effective were the strategies in empowering women and youth?	Cross-cutting

The baseline study includes the following outcome indicators that are required for monitoring according to the ACIP Performance Management Plan (PMP) and to respond to the evaluation questions (See Section 5.5). These indicators are defined in terms of changes in averages of the percent of people, performance scores, and perception scores. The following are the indicators directly related to future ACIP performance and impact evaluations:

- Indicator 22 – Average percent change in proportion of survey respondents reporting improved understanding of ethnic minorities issues after the implementation of a positive messaging initiative.

¹⁰ The central goal of an impact evaluation is to observe the difference in any outcome variable, with or without an intervention, in order to assess whether changes in the welfare of individuals, households or communities can be attributed to a specific project, program or policy. The central question is, "What would have happened to the beneficiaries of the intervention if they had not received it?"

This is a situation that has to be estimated, as it is impossible to simultaneously observe an individual in the two situations (with and without intervention). The without situation is commonly known as the counterfactual. The great difficulty is to design a way to observe results attributed solely to the actions of ACIP and not to other efforts from other institutions or governments, or to record simply unobservable differences between the groups being compared to measure the results.

The design of an impact evaluation thus looks for a treatment group (which receives the intervention) and a control group (which did not receive the intervention) that can be considered equal before the intervention. Unfortunately this procedure is valid only in very special situations. The simplest situation is when the program is randomly assigned to the population or municipality, this methodology is called Randomized Controlled Trial (RCT) (experimental design). In the absence of random assignment, the techniques frequently used are (quasi-experimental designs), regression analysis and matching, and instrumental variables. The regression and matching methods attempt to reproduce, controlling for observable variables, a situation similar to the random assignment of the program. These techniques require strong assumptions to be valid, such that, conditional on observable variables, participation in the program is random. If there are unobserved variables that affect participation in the program and the outcomes of interest, the matching methods and regression are invalid. In this situation, the availability of observations for the treatment groups and control prior to the start of the program (baseline data) can be extremely useful, because, if the unobservable variables are constant over time, the matching techniques can be generalized and it is still possible to use the method of Differences in Differences with matching.

- Indicator 25 - Average percent change in score of assessment of state institutional capacity for attention to ethnic minority needs among targeted state institutions benefiting from ACIP support.
- Indicator 26 - Average percent change in proportion of women holding leadership positions in targeted Afro-Colombian and indigenous organizations.
- Indicator 27 - Average percent change in proportion of youth holding leadership positions in targeted Afro-Colombian and indigenous organizations.
- Indicator 28 - Average percent change in estimate of income perceptions of Afro-Colombian and indigenous persons of their socioeconomic and political inclusion.
- Indicator 29 - Average percent change in perceptions of Afro-Colombian and indigenous persons of their socio economic and political inclusion.

Study Design

This baseline study was designed to gather the data necessary to later test the following development hypothesis:

The significant and sustainable change in the socioeconomic and political inclusion of indigenous and Afro-Colombian populations in the targeted areas is a result of ACIP's integrated set of interventions at the institutional, community and individual levels by:¹¹

- Supporting effective public policy implementation, resource investment, and ethnic-sensitive information systems;
- Building capacity of community-based organizations for effective governance and advocacy;
- Promoting rights to land for ethnic communities;
- Increasing access to urban and rural economic opportunities; and
- Increasing education and awareness about ethnic minority issues, the socio-economic and political inclusion of Afro-Colombian and indigenous populations will increase.

The evaluation methodology to be employed to test the proposed hypothesis is a mixed methods approach in which “*the researcher mixes or combines quantitative and qualitative research techniques, methods, approaches, concepts or language into a single study.*”¹² The evaluation is able to assess both the socio-economic and political inclusion status of the target beneficiaries (through time-sequenced surveys) and the changes in policies, practices, attitudes and decision-making of organizations and institutions that influence inclusion of ethnic communities.

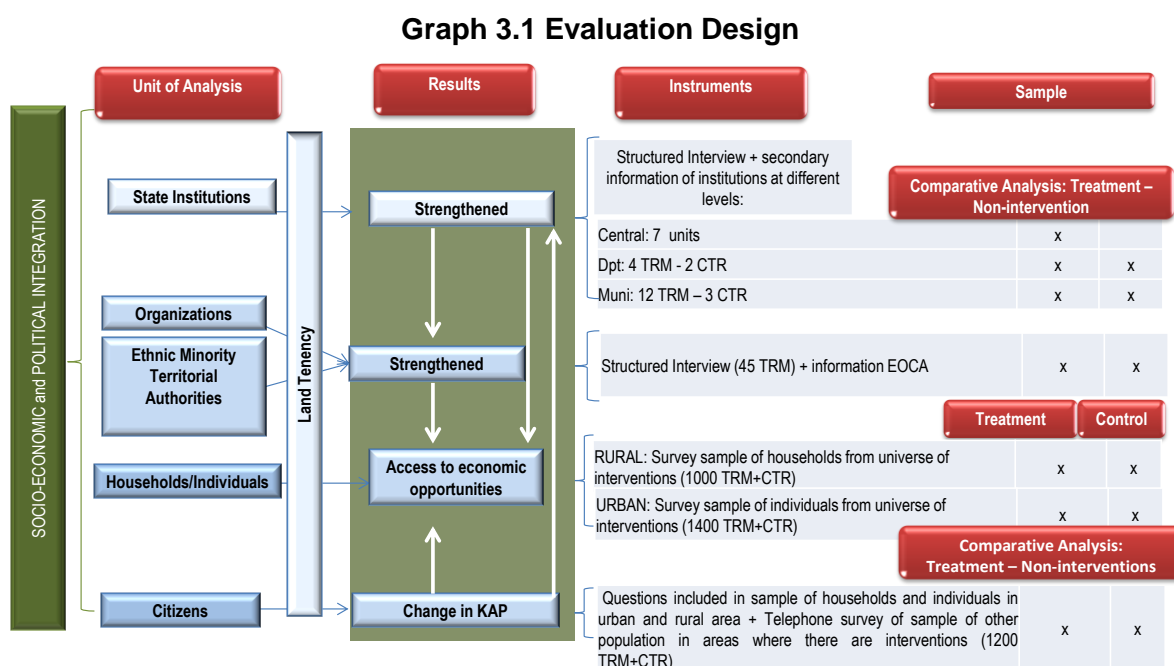
This mixed methods approach takes into account the different levels and actors targeted by ACIP across the strategic result areas. The program plans to incorporate ethnic communities (indigenous and Afro-Colombian), general population, state officials (national and territorial), and representatives of CBOs.

¹¹ ACIDI/VOCA, Year 2 Work Plan (2012), pg. 4

¹² Johnson & Onwuegbuzie (2004), pg. 17.

In this context, a quasi-experimental design with control and treatment groups identified through representative samples will allow inferences to be made about the target population universe for Result 3. For Result 4, an intensity analysis will be carried out (observation of exposure effect over time). These analyses complement data collected via qualitative instruments for Results 1 and 2. It is important to highlight that only Results 3 and 4 have comparison groups, which provides the basis for the planned impact evaluation that can attribute causality of change due to ACIP interventions. For Results 1 and 2 it will be impossible to attribute causality of ACIP interventions, due to the lack of control groups.¹³ Thus for Result 1 and 2 it will only be possible to observe changes over time.

Graph 3.1 summarizes the evaluation design for evaluating Results 1, 2, 3 and 4. The units of analysis include State Institutions for Result 1; Civil Society Organizations (CSO) and Ethnic Territorial Organizations for Result 2; and households and individuals for Results 3 and Result 4.



Source: Econometría S.A.

The expected results are strengthened State institutions and organizations, increased access to economic opportunities and positive change in Knowledge, Attitudes and Practices (KAP) for individuals and households, and increased awareness of minority issues among citizens that do not belong to ethnic communities.

The baseline study will present the initial conditions of the State institutions, organizations, individuals and households targeted by ACIP. It is important to note that the baseline study occurred after some of the interventions had already initiated. By the time the baseline data

¹³ Since ACIP works directly with all relevant State institutions (e.g., Ministry of Agriculture and Rural Development and the Mayor's Office of Cartagena) there is no feasible control group. For organizations, the same logic applies. ACIP aims to work with all relevant minority organizations.

collection started in June 2013, 32 ACIP activities were completed. However, these activities only represent 1.5% of the total obligated funding for the 5-year Program.¹⁴ The activities completed before the baseline mainly contribute to Results 1 and 4 (28% and 31% respectively). These activities include supporting the development of national policies, advising state entities, and supporting cultural activities that communicate positive messages on ethnic issues. 28% of the completed activities include support for community-based organizations (Result 2) and only 13% of the activities contribute to Result 3 objectives. Due to the relatively low intensity of these interventions, their impact is expected to be minimal in relation to the final impact of the completed program. However, these prior interventions should be taken into account in the final impact analysis.

Result 1: Strengthen State institutional capacity. A structured interview instrument was developed¹⁵ to measure the baseline situation under Result 1. The instrument measures the institutional capacity of Government of Colombia (GOC) institutions from the national to municipal level in six main areas: (1) development and implementation of pro-minority policies; (2) planning and investment of public resources in ethnic communities; (3) organization and human resources; (4) information systems that capture ethnic minority variables to improve monitoring of policy implementation for Afro-Colombian and indigenous persons; (5) participatory management to ensure participation and accountability spaces for ethnic minorities; and (6) capacity to formulate projects.

Interviews were conducted among national, departmental and municipal state institutions that are expected to receive the intervention (i.e., treatment group), as well as at departmental and municipal institutions that are not targeted by ACIP (i.e., comparison group). The structured interview examines individual questions and secondary information related to each institution and provides the information necessary to construct an Institutional Capacity for Attention to Ethnic Minority Needs (ICAE).

The ICAE is a proprietary tool designed by ACDI/VOCA in collaboration with CONSUCOL to measure the effect of ACIP's interventions on strengthening institutional capacity to implement policies and plans and adequately invest state resources in ethnic communities. It also analyzes the effectiveness of information systems necessary to monitor implementation and investment.

Result 2: Strengthen community based organizations. To gather baseline data under Result 2, a semi-structured interview was conducted with Ethnic Minority CBOs and Ethnic Territorial Organizations to explore organizations' capacity to advocate for their rights, hold the government accountable, and autonomously govern their ethnic territories. The interviews also explored female and youth participation in organizations.

¹⁴ The total funding for the 32 completed activities by June 2013 is \$897,000 USD out of a total of \$61.4 million total planned USAID obligations for ACIP. (SOURCE: Activity data registered in MONITOR data as of September 2013)

¹⁵ Based on an instrument designed by CONSUCOL for ACIP to measure the ICAE. CONSUCOL was in the process of designing this instrument when the baseline survey construction began. The Monitoring and Evaluation Program provided comments on the design of the tool.

The interview tool captures similar information to that captured through ACIDI/VOCA's proprietary Ethnic Organizational Capacity Assessment (EOCA) tool. The EOCA rates an organization in six areas: democracy and participation, autonomy and management, cultural identity, social and human development, representation, advocacy, and for ethnic territorial organizations, and management and territory control.

Result 3: Increase access to economic opportunity for ethnic minorities, and

Result 4: Increase positive messaging of ethnic minority issues. In order to collect data to measure progress towards Results 3 and 4, rural households and urban individuals from ethnic communities were surveyed. These groups were divided into treatment (those that are intended to participate in ACIP's intervention) and control groups. Since R4 activities will target both ethnic minorities and the general community, individuals that do not belong to ethnic communities were contacted by telephone to conduct the R4 survey module.

ACIP's strategy to increase ethnic minority employment and income generation includes different programs for the urban and rural areas. In targeted urban areas, ACIP finances job-training programs provided by private training institutions. These institutions competed in a public call for proposals in the nine cities where ACIP intends to intervene. In rural areas, ACIP provides technical assistance, infrastructure and equipment for productive projects, including cocoa, coffee, citrus, goats, forestry, fishing and bananas. Given this context, the baseline survey design has a different approach for the urban and rural programs.

For both urban and rural programs, the methodology used is a combination of two strategies: Covariate Balancing Propensity Score Matching (CBPS) and Difference in Difference (DD) (*see end of this section for details*). The first constructs a control group utilizing the probability of participating in the program on the basis of observed characteristics, unaffected by the program.¹⁶ This method assumes that, controlling for observed characteristics, there are no remaining differences between the groups. The second methodology assumes that unobserved characteristics of the participants (household or young individual beneficiaries) exist, but they are time invariant. The estimated impact will be the difference in the change on the variables in the treatment and control group before and after the intervention.

Awareness of the ethnic communities and shifts in attitudes and perceptions of society are encouraged by two complementary interventions: access to the different programs designed in ACIP and the promotion of different cultural and communication initiatives. For instance, ACIP supports a broad range of activities, including cultural meetings, indigenous or Afro-Colombian organizations' meetings, and campaigns in local media, such as community radio programs, local magazine articles, and other means of communication. The evaluation strategy will measure the change in perceptions, both among ACIP beneficiaries and the general population. Because of the universal nature of those activities, one can suppose people with more exposure to the campaigns and participation in the activities could present a broader change than people who do not participate and do not regularly access various forms of media.

¹⁶ Khandker, Gayatri, & Hussain, 2009

Cultural activities, media promotion and massive campaigns cannot be perfectly randomized, because of the self-selection of the beneficiaries to participate and the universal access to the media. For this reason, the evaluation strategy measures the frequency in the use of communication media to measure the probability of being treated (*see section below on Intensity of Treatment*).

Cross Cutting Themes. As a complement to ACIP's principal lines of action, the Program incorporates cross-cutting activities in promoting gender equality and youth participation. For the base line, disaggregated data in regards to gender and youth were analyzed:

- A detailed analysis of youth and women participation was included for Result 2.
- Women's empowerment was measured in the rural households analyzed for Result 3. The framework to measure women's empowerment was taken from Alkire, Meinzen-Dick, Peterman, Quisumbing, Seymour, & Vaz (2013), who developed the Women's Empowerment in Agriculture Index. They argue that women's empowerment in rural areas should not only be measured by households' expenditure decisions, but also in agricultural activity decisions.
- As the youth population is the focus of the urban intervention of Result 3, this allows inferences about their participation in organizations. In addition, analysis includes disaggregation by gender for this intervention.

Covariate Balancing Propensity Score¹⁷

The Matching Method proposed for this evaluation, the “*Covariate Balancing Propensity Score*” (CBPS)¹⁸, is a non-parametric statistical technique. This method's results are more robust than the method of “*Propensity Score Matching*.” This type of method identifies, with the baseline information, a match for each individual/household included in the treatment group with an individual/household in the control group, taking into account a group of variables that characterize the individual/household and their environment. This data is used to calculate the probability of being a potential beneficiary.

The objective of the methodology is to approximate a situation in which there are no differences between the two groups in terms of the individual and environmental characteristics included in the analysis. This is to ensure that the results or impacts would have been the same if the individuals in the treatment group had not been treated.

Difference in difference (DD)¹⁹

The DD methodology compares the treatment and control groups at two points in time, before and after the treatment, in order to isolate the effect of the intervention. The following equation describes how it works:

$$\alpha^{DD} = E[(Y_1^{D=1} - Y_0^{D=1}) - (Y_1^{D=0} - Y_0^{D=0})]$$

¹⁷ Based in DevTech; Econometría S.A. (2012).

¹⁸ Imai & Ratkovic (2012).

¹⁹ Based in DevTech; Econometría S.A. (2012).

Where:

$Y_t^{D=1}$ is the value of the target variable for the treatment group in period t .

$Y_t^{D=0}$ is the value of the target variable for the control group in period t .

Period $t=0$ corresponds to the period prior to implementing the program (baseline) and $t=1$ corresponds to the time after the program is implemented. The impact is measured by two sets of differences. The first is the difference (change in result variables) between the baseline and the follow-up survey for the treatment group, and the difference between the baseline and follow-up for the control group. These two equations take account of differences between the two groups coming from unobserved variables that are time invariant. The second difference, subtracting the control group change from the treatment group change, measures the effect of the program intervention. It is important to clarify that the model assumes that the macro or environment variables have the same effect on both the treatment and control groups and that the groups share a common trend over time. Additionally, it is assumed that the decision to participate in the program is exogenous and not related to unobservable individual characteristics.

Intensity of Treatment

It is not possible to perfectly randomize cultural activities, media promotion and massive campaigns because of the self-selection of the beneficiaries to participate and the universal access to the media. For this reason, the evaluation strategy takes the frequency in the use of communication media to measure the probability of being treated. As the criteria to construct the control and treatment groups, one can suppose that those who have more exposure to radio, television, and newspapers and also to public events, have more access to the campaigns and initiatives that ACIP promotes. This group is expected to have a greater change in their knowledge, attitudes and perceptions due to ACIP's interventions.

The impact estimation will be carried out through an intensity to treatment analysis. The differences in the duration of exposure to the treatment (exposure to media where the positive messages will be shown) can be exploited to identify the effect of the intervention. Estimating an intensity effect is to compare individuals treated with greater exposure to the intervention with individuals treated with a shorter exposure. In other words, in this analysis the counterfactual (control) of an individual with higher exposure is an individual also treated but with a shorter participation. Thus, the estimated effect is not the participation in the component, but the effect of exposure of the intervention, measured in the frequency of media²⁰.

$$Y_i = \beta_0 + \beta_1 Exposure_i + u_i \quad (1)$$

Where:

Y_i is the value of the result variable
 $Exposure_i$ is a continues variable that measure exposure to media
 u_i error term

²⁰ As everyone surveyed for component 4 have access to media, the construction of a comparison group as first proposed was not possible. Instead an intensity to treatment analysis is proposed.

β_1 intensity effect

One of the advantages of this analysis is that it does not require assumptions on the process of selection of the intervention with respect to the non-observables, as it compares beneficiaries with other beneficiaries. The intensity analysis can be combined with a method of difference in difference.

4. SAMPLING AND DATA COLLECTION

This section describes baseline sampling and data collection for the analysis of each result. Data was collected over a two-month period, from June 10 to August 8, 2013.

State Institutional Capacity Strengthened (Result R-1)

Institutions were selected for interview based on level of government (national, departmental and municipal) and proportion of ethnic minorities within the population (51% or more vs. less than 50%) in order to ensure a diverse sample.

From June 10 to August 5, 2013, an effort to collect all the interviews of State entities was conducted²¹ (see Table 4.1). Nineteen complete interviews were conducted among the treatment group, out of an expected 24 interviews. One interview was partially completed, and four interviews were not possible to conduct (rejected or impossible to contact). Among the five interviews scheduled among comparison State entities, three complete and two incomplete interviews were conducted. In general the interviews with entities were difficult to complete given the lack of time of public functionaries and the limited information that one functionary can provide about an entire institution.

²¹ On the last week with the help of USAID an extra effort was done to try to complete the expected sample.

Table 4.1 Results of State Entity Interviews

Entity	Area	Position person interviewed	Result
Treatment			
INCODER (Colombian Rural Development Institute)	Ethnic Affairs Directorate – Sub-management of Promotion and Participation	Deputy General Manager	Complete
Ministry of the Interior	Directorate of Afro-Colombian Communities	Specialized Professional	Complete
	Directorate Consultation	Management Area Leader/ Resource Area Leader	Complete
	Directorate of Indigenous Communities	Specialized Professional	Complete
Ministry of Agriculture and Rural Development	Directorate for Rural Development – Program for Rural Women	Specialized Professional	Complete
Presidential Program for Afro-Colombian Issues	N/A	Strategic Axis: Institutional Lag Officer/ Administrative Officer	Complete
Presidential Program for Indigenous Issues	N/A	General Manager	Complete
Governor's Office of Chocó	Office of the Governor		Complete
Governor's Office of Cauca	Secretary of Planning	Ethnic Coordinator	Complete
	Secretary of Government	Ethnic Affairs Advisor	Complete
Governor's Office of San Andrés	Secretary of Government		Not possible to conduct ²²
Governor's Office of la Guajira	Secretary of Indigenous Affairs	Secretary of Indigenous Affairs	Complete
Mayor's Office of Cartagena	Ethnic Affairs Counsel	Advisor Officer	Complete
Mayor's Office of Santa Marta	Mayor's Dispatch	Program Leader "Población Vulnerable"	Complete
Mayor's Office of Quibdó	Mayor's Dispatch	Officer of the Secretary of Planning	Complete
Mayor's Office of Barranquilla	Secretary of Government	General Manager/ Specialized Professional	Complete
Mayor's Office of Uribe	Indigenous Affairs	Secretary of Indigenous Affairs	Complete
Mayor's Office of Maicao	Indigenous Affairs	Technical Manager	Complete
Mayor's Office of Guapi	Secretary of Planning		Not possible to conduct ²³
Mayor's Office of Silvia	Secretary of Planning		Complete

²² San Andrés was not included to be visited in person in the fieldwork plan, due to time and budget limitations. A telephone interview was planned to fulfill the non-presence interview. However, as many calls and meetings with the Governor's office were tried, none of them was successful.

²³ As San Andrés, Guapi was not included to be visited in person in the fieldwork plan, due to time and budget limitations. A telephone interview was planned to fulfill the non-presence interview. However, as many calls and meetings with the Mayor's office were tried, none of them was successful.

Mayor's Office of Buenos Aires	Secretary of Planning		Not possible to conduct ²⁴
Mayor's Office of Jambaló	Secretary of Planning		Not possible to conduct ²⁵
Mayor's Office of Bojayá	Secretary of Planning	Secretary for Planning and Infrastructure	Complete
Mayor's Office of Lloró	Secretary of Planning		Incomplete ²⁶
Control			
Governor's Office of Cesar	Secretary of Government	Specialized Professional Afro-Colombian Communities/ Specialized Professional Indigenous Communities	Complete
Governor's Office of Bolivar	Secretary of Interior		Incomplete ²⁷
Mayor's Office of Galapa	Secretary of Planning		Incomplete ²⁸
Mayor's Office of Valledupar	Office of Ethnic Affairs	Ethnic Affairs Coordinator	Complete
Mayor's Office of El Copey	Secretary of Planning	Secretary of Planning and Public Works	Complete

Source: Econometría S.A.

²⁴ As San Andrés and Guapi, Buenos Aires was not included to be visited in person in the fieldwork plan, due to time and budget limitations. A telephone interview was planned to fulfill the non-presence interview. However, as many calls and meetings with the Mayor's office were tried, none of them was successful.

²⁵ Over fieldwork, the interview overlapped with other interviews as the person was not able to arrive on time and it was not possible to reschedule during the fieldwork visit. Under the circumstances, a telephone contact was made but it was impossible to carry out the interview as the contact person did not have availability.

²⁶ The interview in the mayor's office on Lloró, was carried out on June 28. The contact person did not have all the information and time to finish the interview and the fieldwork required a move to Tado the next day which made it impossible to reschedule. A later contact phone was tried without success.

²⁷ The Governor's office of Bolivar was difficult to contact but finally agreed for a meeting on June 26. The contact person was not able to give all the information and the interview jumped around the Governor's office without any success. They were reluctant to the interview and to give information.

²⁸ The contact person did not have all the information to complete the interview.

Variables

A state entity's institutional capacity for attention to ethnic minority needs refers to its resources and existing management processes that considers the needs of Afro-Colombian and indigenous populations. This capacity is represented in terms of goods and services offered by the entities to guarantee the rights of all inhabitants, but in the context of inclusion policies, institutions must act explicitly to serve these populations (which have quality of life indicators that are lower than those of other groups). The index contains six dimensions: public policy and planning, investment resources, organization and human resources, information systems, prior consultation and capabilities and projects (see Table 4.2).

Table 4.2 Institutional Capacity for Attention to Ethnic Minority Needs (ICAE) - Dimensions, indicators and variables

Dimensions	Indicators	Variables
Public Policy and Planning	Laws, Ordinances, Agreements or Decrees	<ul style="list-style-type: none"> • Laws • Ordinances • Agreements • Decrees
	Policy documents for ethnic communities	<ul style="list-style-type: none"> • Existence of policy document of the national entity, territorial or specific entity
	Investment projects	<ul style="list-style-type: none"> • Existence of ethnic or differential approach in programs • Existence of investment projects ethnic or differential approach them
	Monitoring implementation and results	<ul style="list-style-type: none"> • Monitoring reports financial and product development plan (global) and entity • Reports of effects and impacts of the development plan (global) and entity
Investment resources	Investment	<ul style="list-style-type: none"> • Total investment resources for ethnic communities • Share of total investment of the entity • Relative growth to the previous period
Organization and human resource	Unit responsible	<ul style="list-style-type: none"> • Existence dependency or group to ethnic affairs • Dependence level in the organizational structure
	Human Resource	<ul style="list-style-type: none"> • Number of staff exclusive or partial plant dedicated to ethnic affairs • Number of contractors dedicated to exclusive or partial ethnic affairs • Hierarchical level • Professional level
Information Systems	Coverage and quality indicators	<ul style="list-style-type: none"> • Existence of coverage and quality indicators of ethnic
	Records, censuses and surveys	<ul style="list-style-type: none"> • Existence of records of operations with ethnic communities • Censuses and surveys that incorporate the ethnic dimension
	Information	<ul style="list-style-type: none"> • Existence management reporting, monitoring and evaluation of actions and outcomes of care for ethnic communities.
	Transparency and access	<ul style="list-style-type: none"> • Web site availability information list on Ethnic Communities
Participative management	Prior Consultation	<ul style="list-style-type: none"> • Inquiries made • Results of previous consultations
	Spaces for participation	<ul style="list-style-type: none"> • Existence of policy participation spaces and activities to assist ethnic communities • Type of participation in such spaces (decision, advocacy, consultation, information)
	Accountability	<ul style="list-style-type: none"> • Accountability
Capabilities and projects	Capability to formulate projects	<ul style="list-style-type: none"> • Capabilities
		<ul style="list-style-type: none"> • Financial resources

Source: CONSUCOL SAS (2013)

An entity with a good score (i.e., close to 100) is one in which policy decisions favor the rights of Afro-Colombian and indigenous communities and which includes within its

activities, strategies, programs, projects and resources to meet the needs of these communities. Furthermore, the institution should allocate resources in its operating budgets and make investments for committees or working groups responsible for these issues. These groups should include personnel contracted whom have knowledge of ethnic issues. The personnel should also be committed to solving ethnic minority-relevant problems by establishing coordination mechanisms with other levels of government that encourage community participation in different aspects of management. Finally, the entity should ensure transparency by making available clear and timely information and providing high coverage of its services among Afro-Colombian and indigenous populations. It is important to note that if an institution is in a territory where the ethnic population (Afro-Colombian, indigenous) is the majority, a different version of the instrument was applied.²⁹ The instrument was designed to assess how the institution addresses the needs of the ethnic minority based on a pilot conducted by ACDI/VOCA in collaboration with CONSUCOL in Chocó. However, in the field the instrument is not well suited for cases such as Silvia, where the minority is the mestizo or white population. In this case, the instrument should have the capacity to measure differential attention for the indigenous majority.

Ethnic Minority Community-based Organizations (Result R-2)

The baseline for Result 2 includes two types of organizations: (1) Ethnic Territorial Organizations at the regional and local level; and (2) Civil society organizations (CSOs) at the regional and local level. The planned sample was made up of 18 CSOs and 27 traditional authorities operating in ethnic territories, for a total of 45 organizations to be analyzed.

From June 10 to August 5 2013 an effort to collect all the interviews of ethnic organizations was conducted³⁰. From the 45 interviews to be conducted with treatment organizations, 42 were carried out (16 CSOs and 26 traditional authorities operating in ethnic territories). For the analysis, the organizations were categorized as follows:

- Ethnic territorial organizations
 - Local Afro-Colombian
 - Regional Afro-Colombian
 - Local Indigenous
 - Regional Indigenous
- Civil society organizations (CSOs):
 - Civil society organizations (CSOs)
 - Women's organizations

Variables

ACDI/VOCA's proprietary Ethnic Organizational Capacity Assessment (EOCA) tool measures organizational capacity of ethnic minority organizations across six key capacity

²⁹ Scores were adapted for both instruments with and without ethnic majorities to have a maximum of 100 points.

³⁰ During the last week of data collection, USAID provided support towards an extra effort was made to complete the expected sample size.

areas: (1) Democracy and participation; (2) Autonomy and management; (3) Cultural identity, social and human development; (4) Representation; (5) Advocacy; and (6) Management and territorial control (applicable only to ethnic territories) (see Table 4.3). In order to dialogue with ACDI/VOCA's EOCA and its dimensions, the baseline interview tool was designed to capture similar dimensions, indicators, and variables.

Table 4.3 Ethnic Organizational Capacity Assessment (EOCA) - Dimensions, indicators and variables

Dimensions	Indicators	Variables
Governability and Autonomy	Democracy and participation	<ul style="list-style-type: none"> • Assembly results • Participation in Assembly • Frequency of assemblies • Preparation of assemblies • Results of commissions created by assembly's mandate • Women's participation in commissions • Youth's (ages 14-28) participation in commissions • Monitoring of assembly agreements • Capacity-building topics arising from assembly • Other authorities or influential leaders in the organization • Way decisions are made • Topics more frequently communicated by directors • Directors' relations with other stakeholders • Internal regulations • Women's participation in directive positions • Capacity-building for directive positions • Frequency of meetings with directors • Record of meeting minutes • Media used to communicate • Capacity-building for renovation of directive positions • Directive position rotation • Youth (ages 14-28) participation in directive positions
	Autonomy and management	<ul style="list-style-type: none"> • Bank accounts management • Systematization process • Management during last two years • Petty cash management • Financial statements • Tax obligations • Level of participation in plan formulation • Accounting records • Control and auditing organs • Progress in plan implementation • Organization's property • Organization's budget • Existence of a plan of the organization's own • Procedure handbooks • Level of articulation between the organization's plan with PDM • Capacity-building in administrative and accounting topics • Own capital for operation
	Cultural identity, social and human development	<ul style="list-style-type: none"> • Promotion for access to technical education • Promotion for access to primary education • Promotion for access to secondary education • Identification of resources, goods or traditions that are seen as vital for cultural cohesion. • Infrastructure project management • Women's participation in the organization

Dimensions	Indicators	Variables
		<ul style="list-style-type: none"> • Service project management • Promotion for university education • Social security project management • Legal action or social mobilization to ensure recognition of rights • Knowledge of the organization's own plan by members • Preservation of culture • Productive project management • Youths' participation in the organization • Knowledge of the higher law that protects the community's fundamental rights • Management of tensions, differences and conflicts in the community
	Management and territory control	<ul style="list-style-type: none"> • Food sovereignty areas in the territory • Environmental preservation areas in the territory • Internal agreements to protect the territory • Sacred or spiritual sites demarcated in the territory • Compliance with the territorial organization and environmental management plans • Knowledge of legislation dealing with territorial protection • Territory's cartographical demarcation • Territory's environmental management plan • Status of ethnic territory • Territorial conflict management mechanisms
Incidence and political interlocution	Representation	<ul style="list-style-type: none"> • Participation in alliances • Representation in boards of directors • Participation in public policy formulation • Representation in municipal commissions • Representation in the Territorial Planning Council CTP • Training process for public policy advocacy • Participation in public policy debates at the Departmental Assembly • Representation in consultative or departmental boards • Participation in public policy debates in Congress • Participation in public policy debates in the Municipal Council • Representation in the Municipal Planning Council CMP
	Advocacy (management of rights)	<ul style="list-style-type: none"> • Effective implementation of ethnic rights in ethno-education and culture • Knowledge of access routes for effective implementation of rights • Effective implementation of women's ethnic rights • Knowledge and dissemination of Women's Law • Effective implementation of ethnic rights in specific (own) health • Effective implementation of ethnic rights in childhood and youth • Prior consultation • Specific (own) justice • Social control – citizen oversight groups • Knowledge and dissemination of the Victims' Law • Actions for effective implementation of rights • Effective implementation of ethnic rights in political participation • Knowledge and dissemination of the Restitution Law • Knowledge and dissemination of the Anti-discrimination Law

Source: CONSUCOL SAS (2013)

In addition, youth and female participation in the organizations was included as variables of analysis.

Ethnic Minority Access to Economic Opportunities (Result R-3)

Under Result 3, ACIP targets Afro-Colombians and indigenous youth in urban areas and households in rural areas. The urban selection process takes place at private training institutions. The selection process for participants includes psychological and technical skills testing and interviews. Those who complete the process are assigned to courses and constitute the treatment group. The control group was taken from people of the eligible group who showed interest in participating in the training program but who were not offered entry to the courses. Currently, there are five projects in urban areas (Barranquilla, Cali and Bogotá) from which the sample of treatment and control group was selected.

Of the 1400 surveys planned for the urban sample for the R3 and R4 survey modules (700 treatment and 700 control), a total of 1410 surveys were conducted with individuals (741 treatment and 669 control). These surveys were conducted among the universe of treatment and control individuals that applied for the ACIP job training courses in Barranquilla, Bogotá and Cali. Table 4.4, reports the number of surveys by city and gender³¹.

Table 4.4 Distribution of urban surveys among city and gender

City	Treatment	Control	Total
Barranquilla	261	266	527
Bogotá	234	156	390
Cali	246	247	493
Total	741	669	1410

Gender	Treatment	Control	Total
Male	283	250	533
Female	458	419	877
Total	741	669	1410

Source: Econometría S.A.

In rural areas, the unit of intervention and therefore analysis is the household that owns and manages a productive project. Program benefits are delivered through organizations and productive associations that gather together households located in the same communities. Currently, twelve projects are operating in the departments of Chocó, Cesar and Magdalena; the sample was drawn from this group. Members of those targeted organizations formed the treatment group. The comparison group was made up of similar households located in communities different from the treatment communities. These

³¹ This refers to the number of surveys and does not represent the universe of the study for which the analysis was expanded and conducted.

control communities have similar characteristics and are located in the same municipality. The sample was selected from eight projects (based on the beneficiary list provided by ACIP).

Data collection was carried out from June 21 to July 19, 2013. Of the 1000 surveys planned for the rural sample (500 treatment and 500 control), 996 household surveys were conducted (495 treatment and 501 control). These surveys were conducted among the universe of treatment and control households in rural projects in Cesar, Magdalena and Chocó. Table 4.5, reports the number of surveys by region and ethnicity³².

Table 4.5 Distribution of urban surveys among city and gender

Department/Region	Treatment	Control	Total
Chocó	316	300	616
Cesar/Magdalena	179	201	380
Total	495	501	996

Ethnic Community	Treatment	Control	Total
Indigenous	333	279	612
Afro-Colombian	162	216	378
None	0	6	6
Total	495	501	996

Source: Econometría S.A.

Variables

The goals of urban job-training program is to improve the employment opportunities for Afro-Colombian and indigenous youth. ACIP aims to positively affect participants' future labor status through demand-driven training and on-the-job experience. The baseline reconstructs the individual's labor history, asking for employment status for 2012 and 2013, occupation, position (salaried worker, self-employed, employer, or domestic worker), job benefits, hours worked per week, employment or unemployment duration, contract type, formality and earnings. In addition, variables measure education level and past job training received in order to control for these factors that could influence the results observed.

³² This refers to the number of surveys and does not represents the universe of the study for which the analysis was expanded and conducted.

Table 4.6 Variables for Urban Program

Indicators	Variables
Employment	<ul style="list-style-type: none"> • Employment in 2012 and 2013 • Unemployment in 2012 and 2013. • Unemployment duration in months in 2012 and 2013 • Hours worked per week in 2012 and 2013.
Formality	<ul style="list-style-type: none"> • Formal jobs • Social security benefits • Contract type
Income	<ul style="list-style-type: none"> • Monthly income paid in the job in 2012 and 2013
Quality of Employment	<ul style="list-style-type: none"> • Occupation in 2012 and 2013 • Company Sector in 2012 and 2013 • Position (salary worker, self-employed, employer, domestic worker) in 2012 and 2013

Source: Econometría S.A.

ACIP's rural employment program strengthens local productive crop value chains with the goal of enhancing the performance of the productive business. This directly affects household living conditions. Data was collected for variables such as total quantity of production and total sales incomes. Farm characteristics that affect the results observed, such as total area, land property, transport access and commercial destinies of the products, were also included.

Data collection on household living conditions, took into account income and spending, housing, electricity, access to water, and household members' characteristics, such as age, healthcare protection, educational attainment and employment status. Women's empowerment was addressed through questions related to household expenditure decision making roles and how decisions are made in relation to productive activities³³, land tenure and participation in organizations.

³³ Recently, Alkire, Meinzen-Dick, Peterman, Quisumbing, Seymour, & Vaz (2013), developed a Women's Empowerment in Agriculture Index. As it is not the main focus of the intervention it will not be measured, but the concept of women taking decisions on agricultural activities is taken into account based on their conceptual framework..

Table 4.7 Variables for Rural Program

Dimension	Indicators	Variables
Productive unit	<ul style="list-style-type: none"> Productive unit characteristics 	<ul style="list-style-type: none"> Area of the farm/productive unit (s) Property type of the farm/productive unit(s) Distribution of uses of the land
	<ul style="list-style-type: none"> Economic activities of the productive unit 	<ul style="list-style-type: none"> Main and secondary activities Product propose (trade, gift, community) Total earnings of main activity Main commercial destiny of products
	<ul style="list-style-type: none"> Perceptions of productive unit 	<ul style="list-style-type: none"> Perception of change between 2012 and 2013 Perception of advantages and difficulties Desired spending of returned earnings of the project
	<ul style="list-style-type: none"> Land trade 	<ul style="list-style-type: none"> Land purchases Land sales Land assigned by community Land purchases by the community
Debt and saving	<ul style="list-style-type: none"> Savings 	<ul style="list-style-type: none"> Savings Formality degree
	<ul style="list-style-type: none"> Debts and credit 	<ul style="list-style-type: none"> Productive unit debts Source of productive unit debts Purpose of household debts
Household living conditions	<ul style="list-style-type: none"> Expenditure 	<ul style="list-style-type: none"> Food expenditure Total monthly expenditure Monthly cash transfers to dependent households
	<ul style="list-style-type: none"> Income 	<ul style="list-style-type: none"> Monthly income paid in the job Monthly government transfers Monthly other non-monetary incomes
Food sovereignty	<ul style="list-style-type: none"> Perception of food insecurity in household 	<ul style="list-style-type: none"> Food insecurity scale
Women empowerment	<ul style="list-style-type: none"> Decision making 	<ul style="list-style-type: none"> Expenditure Productive activities
	<ul style="list-style-type: none"> Land tenure 	<ul style="list-style-type: none"> Titles
	<ul style="list-style-type: none"> Participation 	<ul style="list-style-type: none"> Women's participation in organizations

Source: Econometría S.A.

Positive Messaging of Ethnic Issues (Result R-4)

Under Result 4, the unit of intervention, and therefore analysis, is the household or individual that participates directly in cultural, political and awareness-raising initiatives. Most of the beneficiaries of the Result 3 interventions have been affected by Result 4 activities through participation in events or receiving information and encouragement. Some ethnic organizations have received support for their communications strategies, cultural meetings, and local media. Beneficiaries of income generating programs will attend informational and cultural meetings, and live in the areas in which the massive campaigns are implemented. As such, surveys for Result 3 beneficiaries included self-perception and cultural identity related questions that also measure conditions related to Result 4.

Secondly, there are the citizens (who do not belong to ethnic minority communities) in the targeted areas. A main objective of Result 4 interventions is to change negative images held by non-ethnic civilians about indigenous and Afro-Colombian populations.

In addition to the in-person survey data collected from the ethnic communities under Result 3 and 4, data was also collected from the non-ethnic population through telephone surveys specifically to measure Result 4 conditions. This data collection was carried out between July 2 and August 8, 2013. Of the 720 telephone surveys planned for the urban sample, 724 were completed. Of the 480 telephone surveys planned for the rural sample, 481 were completed.³⁴ It is important to acknowledge the difficulty of finding telephone numbers for non-ethnic communities located in the same departments and cities where Result 3 data was collected.

Variables

Awareness-raising campaigns and cultural meetings are intended to positively change the perception of the community toward ethnic minorities and the self-perception and self-recognition of indigenous and Afro-Colombian persons about their visibility and cultural heritage. Based on this objective, the variables to be measured are shown in Table 4.8.

Table 4.8 Knowledge, attitudes and perceptions towards Ethnic Minorities

Categories	Indicators	Variables
Knowledge	Self-recognition	<ul style="list-style-type: none"> Identified with indigenous or Afro-Colombian culture Knowledge of the traditions Strengthening of culture Participation in activities that advocate for ethnic rights Participation in cultural events
Attitudes and Perceptions	Diversity and Inclusion	<ul style="list-style-type: none"> Indifference attitude facing ethnic community problems Difficulty to access to a job by an ethnic community member Discrimination situations Government attention to ethnic communities
	Political inclusion	<ul style="list-style-type: none"> Ethnic community members getting high political positions Capacity of political participation
	Economic inclusion	<ul style="list-style-type: none"> Capacity for income generation

Source: Econometría S.A.

³⁴ Is important to highlight that the rural sample refers to people living in the departments of Choco, and Cesar. As we could not verify the rural living condition of the person and it was difficult to have a rural sample from cellphones who may not have coverage in the rural area.

5. RESULTS

This section describes the results of the baseline study for ACIP's four Results.

State Institutional Capacity Strengthened (R-1)

ACIP works with key GOC institutions at all levels to strengthen their capacity for ethnic care. The Institutional Capacity Index for Attention to Ethnic Minority Needs (ICIAE) is low. The average score for the treatment group was 46.9 out of a maximum of 100 points for 16 treatment State entities. The strengths in the institutional capacity are within the information systems and organization and human resources. The major weakness is in public policy and planning

In general, the initial conditions of the State institutions on their institutional capacity for attention to ethnic minority needs are low (See Graph 5.1). The scores for the index³⁵ range between 32.8 and 62.0, with Cartagena's Mayor's Office with the lowest score and Maicao's Mayor's Office with the highest score. The overall average score is low, 46.9 in a scale from 0 to 100³⁶. The average is lower than the national average for the overall performance index for municipalities in Colombia of 62.5 in a scale from 0 to 100 (2011). The index created by de National Department of Planning (DNP, 2011) includes the achievement of the development plan targets, the efficiency on the use of inputs, administrative and fiscal capacity, and the execution of resources, indicating for 2011 an index of 53.8 for the Mayor's Office of Cartagena and of 63.9 for the Maicao's Mayor Office.

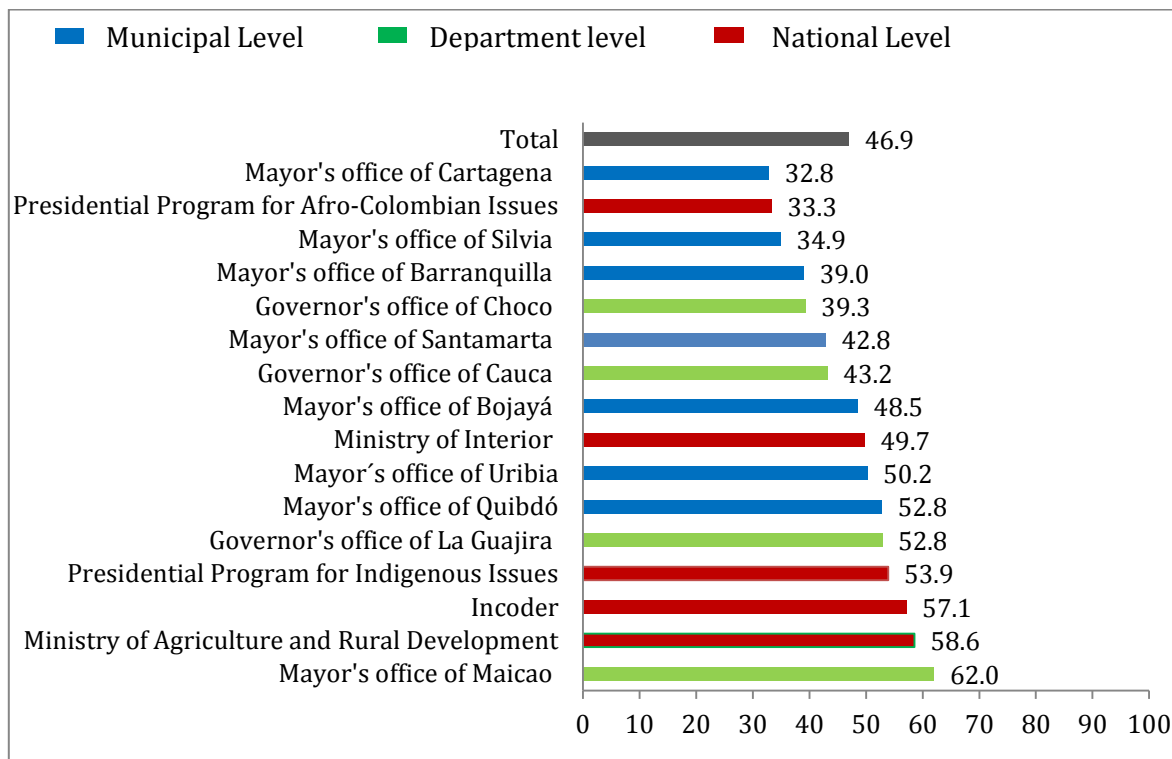
Disaggregation by level of institution shows national-level institutions with the highest average score of 50.5, followed by the municipal level with a score of 45.4, and finally the departmental level with a similar score of 45.1. The comparison entities vary in a similar range, which indicates both beneficiary and non-beneficiary entities depart from a similar level prior to ACIP intervention (See Graph 5.2).

³⁵ See Annex A.1 for calculations of the ICAEs. The maximum value is of 100 points.

³⁶ Based in similar indexes, like the overall performance index for municipalities in Colombia created by de National Department of Planning, the index could be divided on the following ranges of classification:

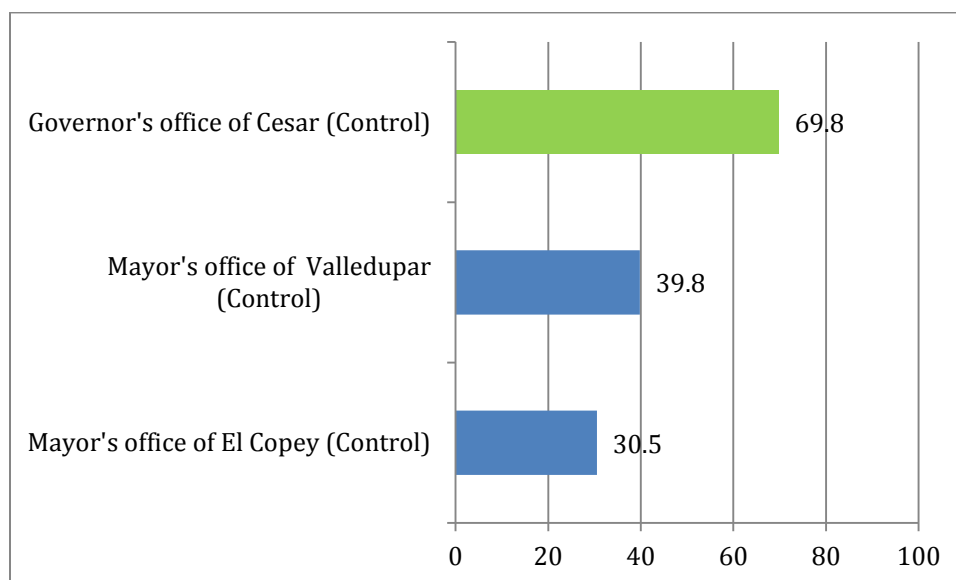
- Critical: <40 critical
- Low: >=40 & <60
- Average: >=60 & <70
- Satisfactory: >=70 & <80
- Outstanding: >=80

Graph 5.1 Institutional Capacity for Attention to Ethnic Minority Needs (ICAE), Results for treatment State institutions, Out of a possible 100 points



Source: Baseline survey State institutions June – July 2013 Econometría SA.

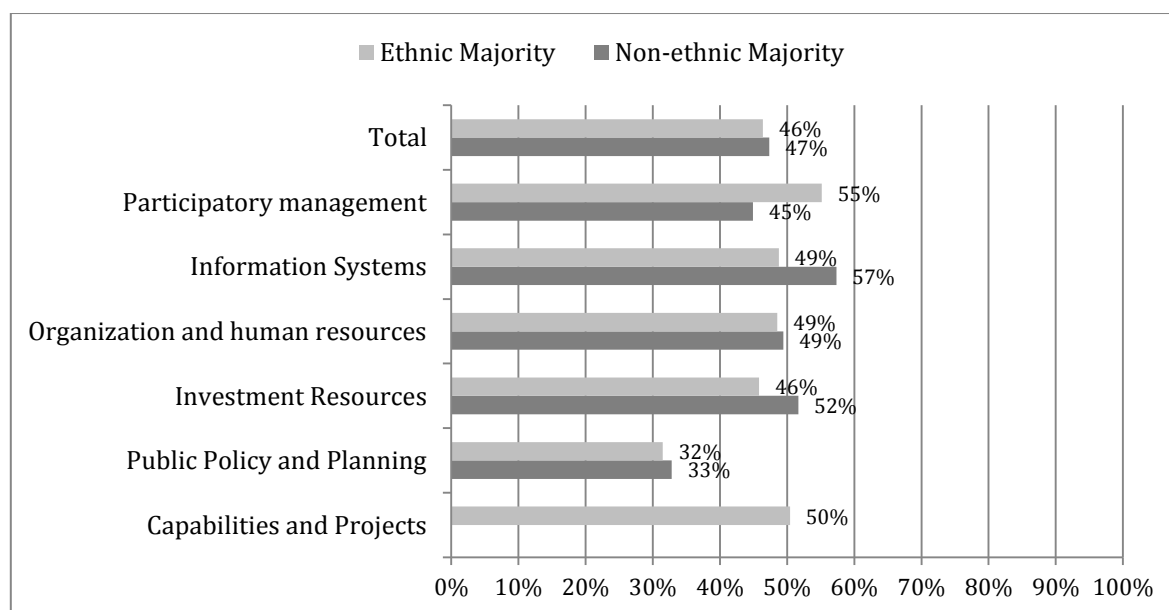
Graph 5.2 Institutional Capacity for Attention to Ethnic Minority Needs (ICAE), General results for comparison State institutions, Out of a possible 100 points



Source: Baseline survey for State institutions June – July 2013 Econometría SA

Graph 5.3 shows the average rating for the variables that make up the ICAE. The major strength for State institutions with non-ethnic majorities is their information systems, while the main strength for State institutions with ethnic majorities is Capabilities and Projects and Participatory Management. The main weakness for both types of State institutions (with non-ethnic majorities and with ethnic majorities) is public policy and planning.

Graph 5.3 Average results by Category, Institutional Capacity for Attention to Ethnic Minority Needs (ICAE) for treatment State institutions (% of Maximum Score for Each Category)³⁷



Source: Baseline survey State institutions June – July 2013 Econometría SA

Graph 5.4 and 5.5 summarize the findings for each category and level of State institution for institutions serving non-ethnic majorities and ethnic majorities populations, respectively (a more detailed analysis can be found in Annex A.2).

- **Public Policy and Planning:** The variable Public Policy and Planning has the lowest average score for both ethnic and non-ethnic majority population institutions and for all levels of institutions. This result suggests that institutions at different levels are not involved in developing laws and decrees concerning matters related to ethnic communities. The score is particularly low for institutions at the national level, 6.1, as well as for Mayor's offices with ethnic majority populations, 5.1.
- **Investment Resources:** The variable Investment Resources is the second strongest score for non-ethnic majority institutions (10.3) and the second weakest variable for institutions serving ethnic majority populations (8.3). This result could be attributed to the fact that, in ethnic majority areas, the entity's budget will be automatically

³⁷ The maximum score for the each individual indicator is 20, with the exception of institutions with ethnic majorities. In the case of institutions with ethnic majorities, there is an additional indicator measured, "Capabilities and Projects," which has a maximum score of 10 and the maximum score for the other 5 variables is adjusted to 18 so that the total possible score when all indicator scores are summed remains 100.

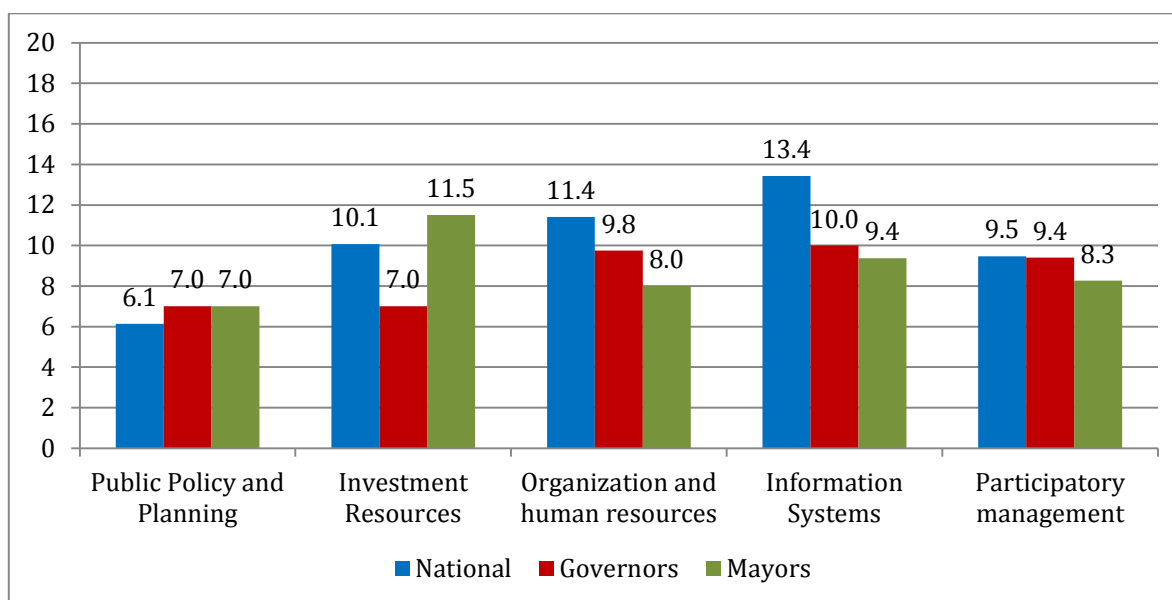
dedicated to the ethnic majority, and the entity does not need to seek a specific budget/resource allocation for the majority population. On the other hand, in ethnic minority areas, the entity needs to actively seek out and budget funds specifically for the minority population. Overall Mayor's Offices and the National government receive higher scores than Governors.

- **Organization and Human Resources:** The variable Organization and Human Resources is the third highest average score among ICAE components for institutions serving both non-ethnic and ethnic majority populations. The results suggest that the institutions surveyed have offices, formal groups and workers dedicated to addressing issues of ethnic communities. However, the overall result shows that institutions do not offer training on issues related to ethnic communities. In general, the municipal level of government has the lowest scores on this variable.
- **Information Systems:** The Information Systems was the variable with the highest average score for institutions serving non-ethnic majority populations (11.5), and the third highest score for institutions serving ethnic majority populations (8.8). The results suggest that the institutions surveyed have management reports with information related to the ethnic communities. However, there are few records of services for members of ethnic communities. Statistics related to Afro-Colombians in general are few, especially at the municipal and departmental level. State and municipal institution websites do not include information on the units responsible for attending to Afro-Colombian and indigenous communities. Although the entities at the departmental and municipal level have coverage rates, it is difficult to get information differentiated by Afro-Colombian or indigenous groups. The national level institutions have the highest score on this variable, 13.4. This suggests that departmental and municipal level institutions, particularly those with ethnic majorities, would benefit from improved information systems.
- **Participatory Management:** The variable for Participatory Management was the strongest variable for institutions serving ethnic majority populations, but the second weakest for institutions serving non-ethnic majority populations. It is also interesting to note that while the score for the municipal level was highest for institutions serving ethnic majority populations, it was lowest for institutions serving non-ethnic majority populations. The results suggest that the institutions serving ethnic majority populations surveyed are involved in multiple types of debate and decision-making processes with ethnic communities. However, overall only half of the institutions interviewed claim to have conducted prior consultation processes with ethnic communities. Regarding accountability, the institutions interviewed indicated that in most cases they held accountability meetings, but not specifically targeted for ethnic communities.
- **Projects and Capabilities:** Only institutions serving ethnic (Afro-Colombian, indigenous) majority populations, completed this part of the interview (the Mayor's Office of Silvia, Mayor's Office of Bojayá, Governor of Choco, Mayor's Office of Quibdó, Mayor's Office of Uribe and Governor of La Guajira)³⁸. The overall result evaluated the existence of personnel and agencies involved in the formulation of

³⁸ Some efforts of ACIP will be concentrated on the formulation of projects, specifically in improving project formulation for the General System of Royalties and other sources, for which this component was only included for ethnic majority populations State entities, to register their capacity in getting resources for their main population.

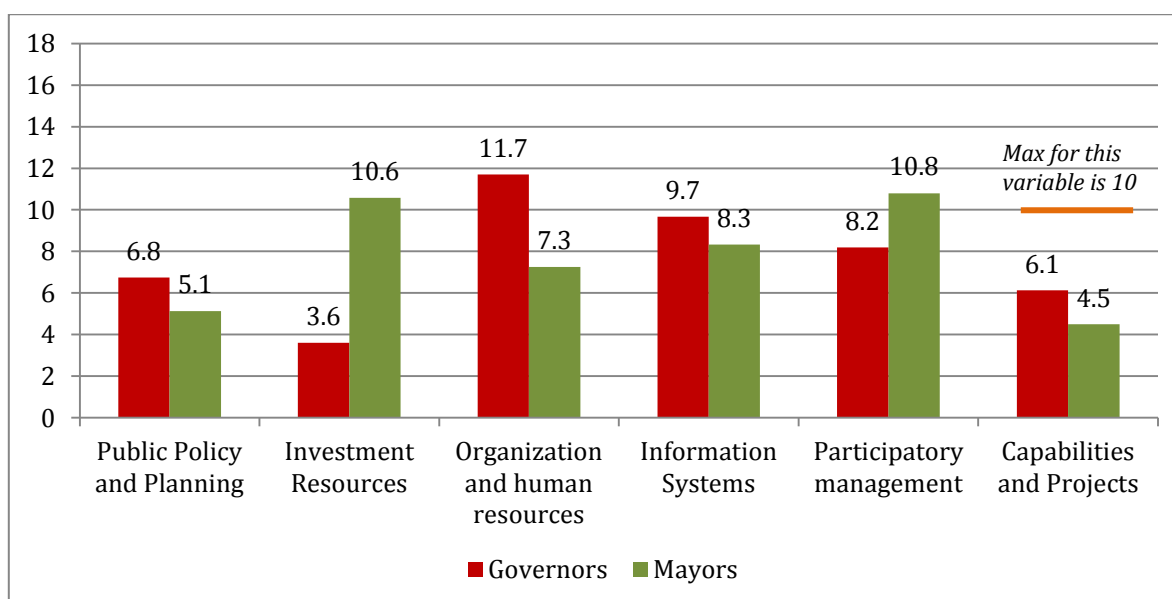
investment projects and planning. This variable assesses the ability of the institution to gain access to resources from the *Sistema General de Regalías* (SGR) or other funding sources. In general, all entities have an office in charge of project investment issues. Only the Mayor of Uribia failed to receive in 2012 resources from the Sistema General de Regalías (SGR).

Graph 5.4 Average results ICAE treatment State institutions by category, for non-ethnic majority populations



Source: Baseline survey State institutions June – July 2013 Econometría S.A.

Graph 5.5 Average results ICAE treatment State institutions by category, for ethnic majority populations



Source: Baseline survey State institutions June – July 2013 Econometría S.A.

Ethnic Minority Community-based Organizations (R-2)

ACIP works to build the organizational capacity of CBOs and traditional authorities to effectively advocate for their rights, maintain sovereignty over their ethnic territories and hold the government accountable. Interviews were conducted with the leaders of 42 Afro-Colombian and Indigenous organizations. Each organization identified capabilities as strengths and/or as needs. Participation in assemblies is considered a major strength, while own capital is mentioned as the major need. Nearly 30% of organizations pointed out the need for increased youth and women's participation.

This section addresses organizational capabilities through five variables: 1) democracy and participation; 2) autonomy and management; 3) cultural identity, social and human development; 4) management and territory control; and 5) representation and advocacy. The interviews were structured to collect this information similar to ACIDI/VOCA's proprietary Ethnic Organizational Capacity Assessment (EOCA) tool that ACIP is currently using.

These variables were investigated with the leaders of 42 Afro-Colombian and indigenous organizations, both ethnic and territorial in character, at the local and regional levels, as well as with civil society and women's organizations.

Each organization identified three organizational capabilities as strengths and three capabilities as requiring strengthening. The analysis and charts below present the frequency with which organizations selected the different variables. As such, results do not add up to 100%. Annex A3 presents an analysis of these three categories by type of organization: civil society, women's, regional and local Afro-Colombian and regional and local indigenous. In general, organizations identify the need to strengthen women and youth participation due to current low levels of participation. This need is more evident and generalized for youth.

Separately, from late 2012 through June 2013 ACIP carried out its proprietary EOCA with the general assembly of 25 organizations. Annex A4 presents the records comparing the strengths and needs identified on the EOCA's by the assemblies with the strengths and needs identified through interviews with organizational leaders carried out under this baseline evaluation. Annex 4 presents the calculation of the percentage of agreement between the assemblies and institutional leaders. Youth and women's participation is one of the variables analyzed.

Democracy and participation

Leaders clearly acknowledge their organization's strength in terms of members' participation and the frequency of assemblies. They identified training and capacity building as the main areas in which strengthening is needed (see Graph 5.6). This distribution is explained in detail in the disaggregation by types of organization (Annex A3). Monitoring of assembly agreements is noteworthy, as it was marked both as strength and as a need for strengthening.

“Participation is our strength, but the lack of resources makes it difficult sometimes to carry out assemblies.”

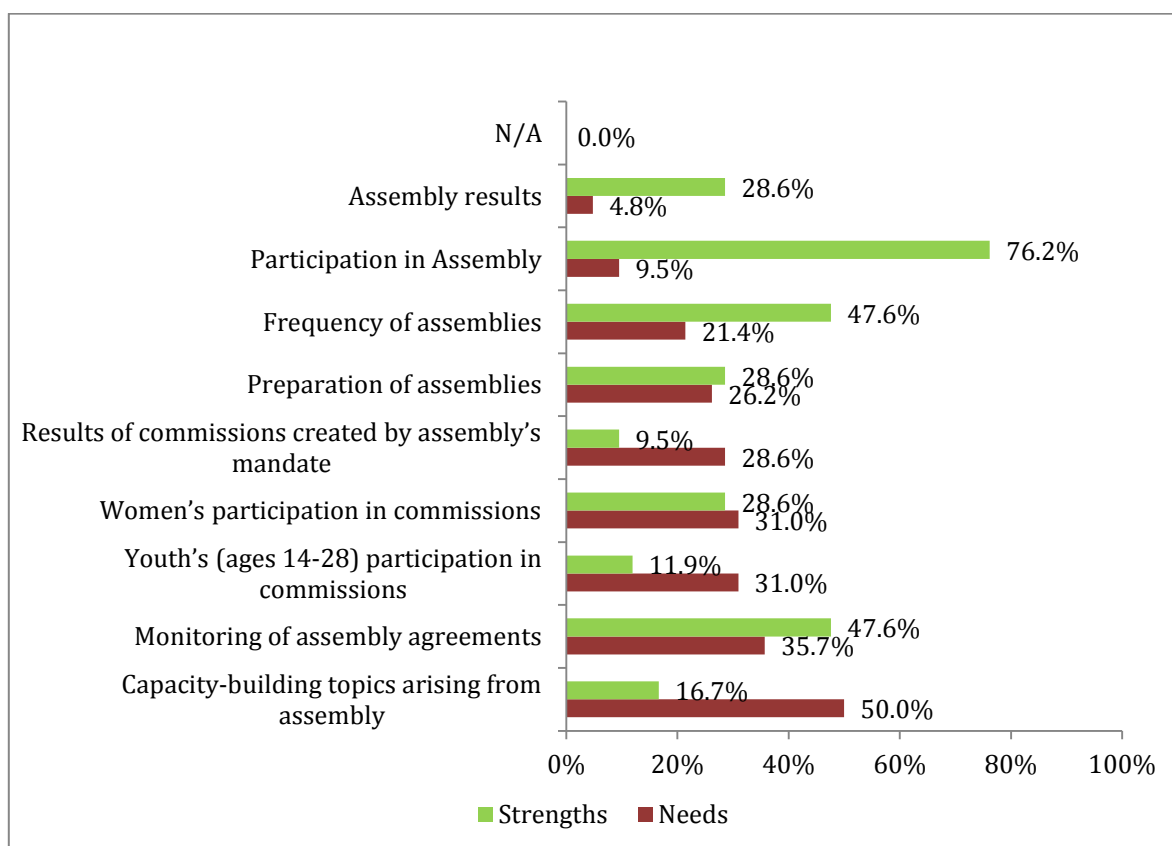
Cauca Regional Indigenous Council CRIC

Nearly 30% of organizations pointed out the need to strengthen youth and women’s participation in commissions.

“On the other hand, women’s and youths’ participation is low. Women traditionally take care of the children, so they cannot participate.”

Cauca Regional Indigenous Council CRIC

Graph 5.6 Democracy and participation: Assemblies, needs and strengths



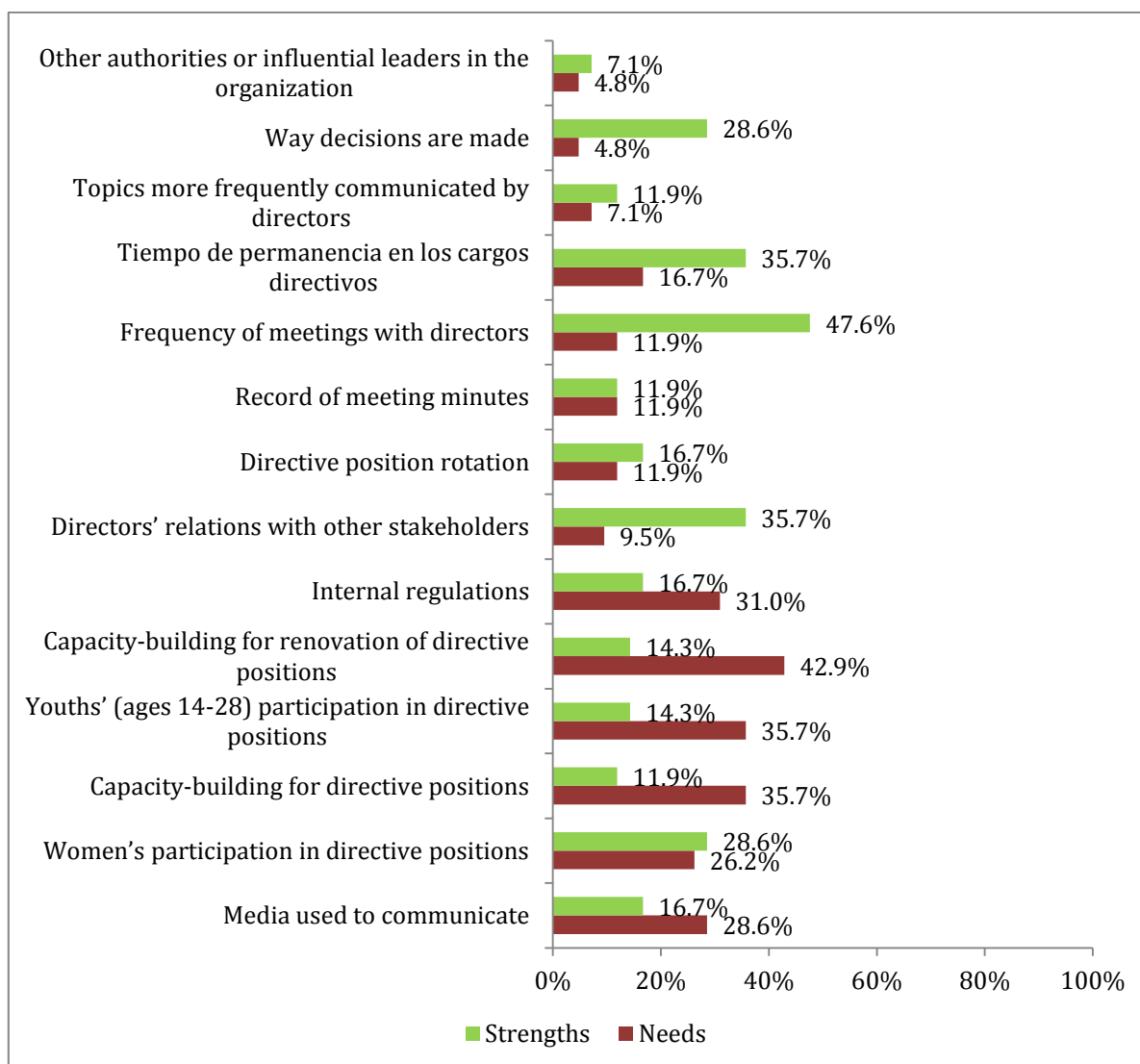
Source: Baseline survey organizations June – July 2013 Econometría SA

It is interesting to note that the areas that were less frequently identified as strengths within the Senior Position variable were also not identified as areas requiring strengthening. Needs for strengthening are evenly distributed as follows: capacity building for leadership positions and rotation of leadership positions. Nearly 30% of organizations identify women’s participation in leadership positions as both a strength of their organizational capacity and as an area where strengthening is needed. Youth participation in leadership positions is identified more frequently as a need for strengthening (by nearly 35% of organizations).

“To train new directors, given that there is no transition going on; we could include more youth, who would bring in new ideas.”

MASAI Afro-Colombian Foundation

Graph 5.7 Democracy and participation: Senior positions, needs and strengths



Source: Baseline survey organizations June – July 2013 Econometría SA

Autonomy and management

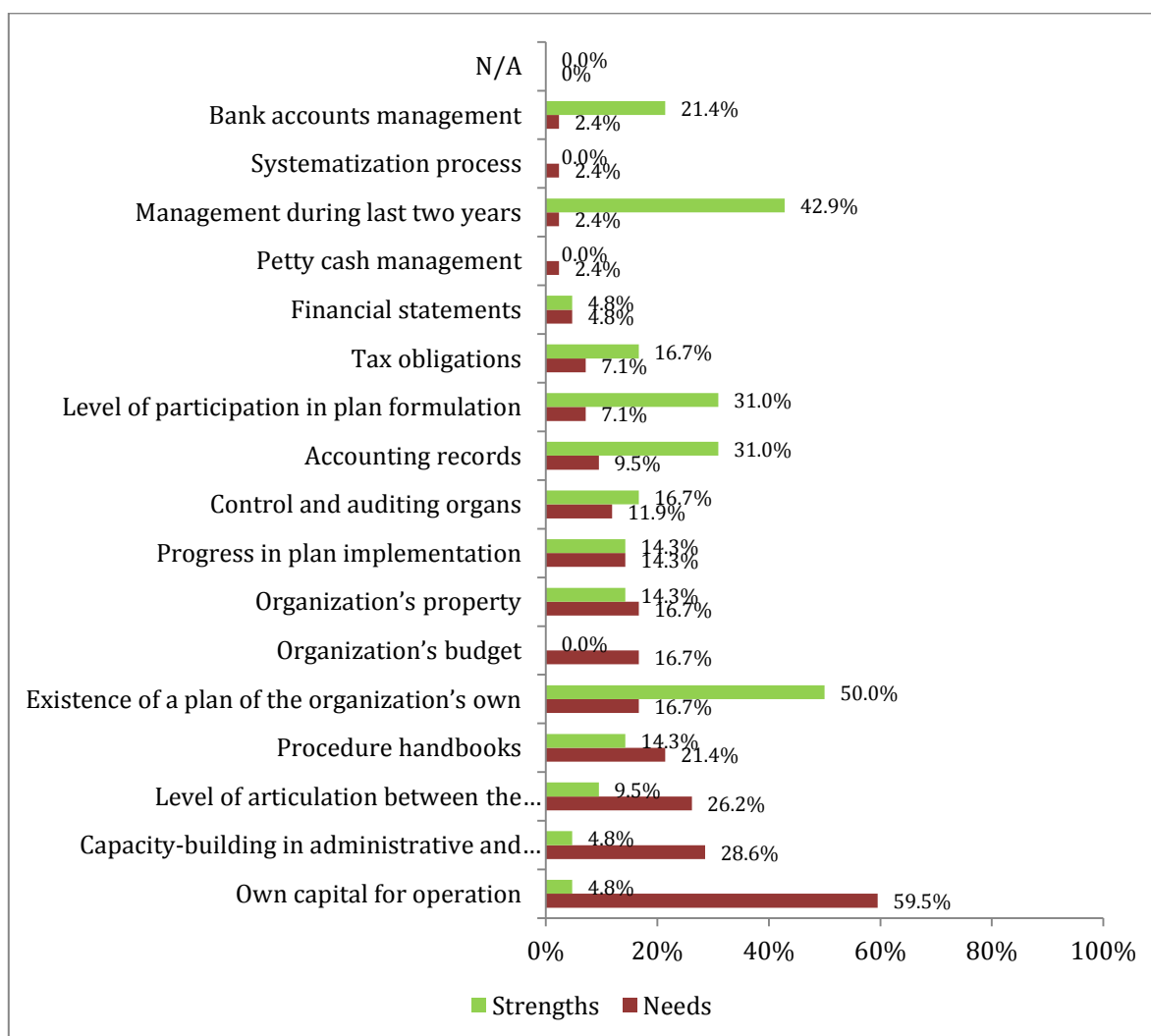
The existence of a plan of their own for the organization is identified by many organizations as a strength; nevertheless, progress in implementing the plan is considered to be both a strength and a need for strengthening, by about 15% of organizations. Capital of their own for operation and capacity-building in administrative and accounting topics is an outstanding need for strengthening.

“The implementation of the organization's plan is needed; we ought to be more compelling instead of staying in the level of ideas.”

“One cannot make progress in plan implementation without resources.”

Capitanía Páez

Graph 5.8 Autonomy and management, needs and strengths



Source: Baseline survey organizations June – July 2013 Econometría SA

Cultural identity, social and human development

Organizations consider the preservation of culture to be their main strength.

“The process of recuperating traditional cultural values. It is women, who prevail with regard to the conservation of cultural traditions.”

Matamba y Guazá Women's Organizations Network

Management of differences, tensions and conflicts is the main need for strengthening.

“Management of differences, tensions and conflicts is identified as the main need for strengthening, because Afro people are diverse, and not having the same opinion is interpreted as a division, so minimal differences end up hindering progress. On the other hand, a greater and more real participation by youths and women is needed.”

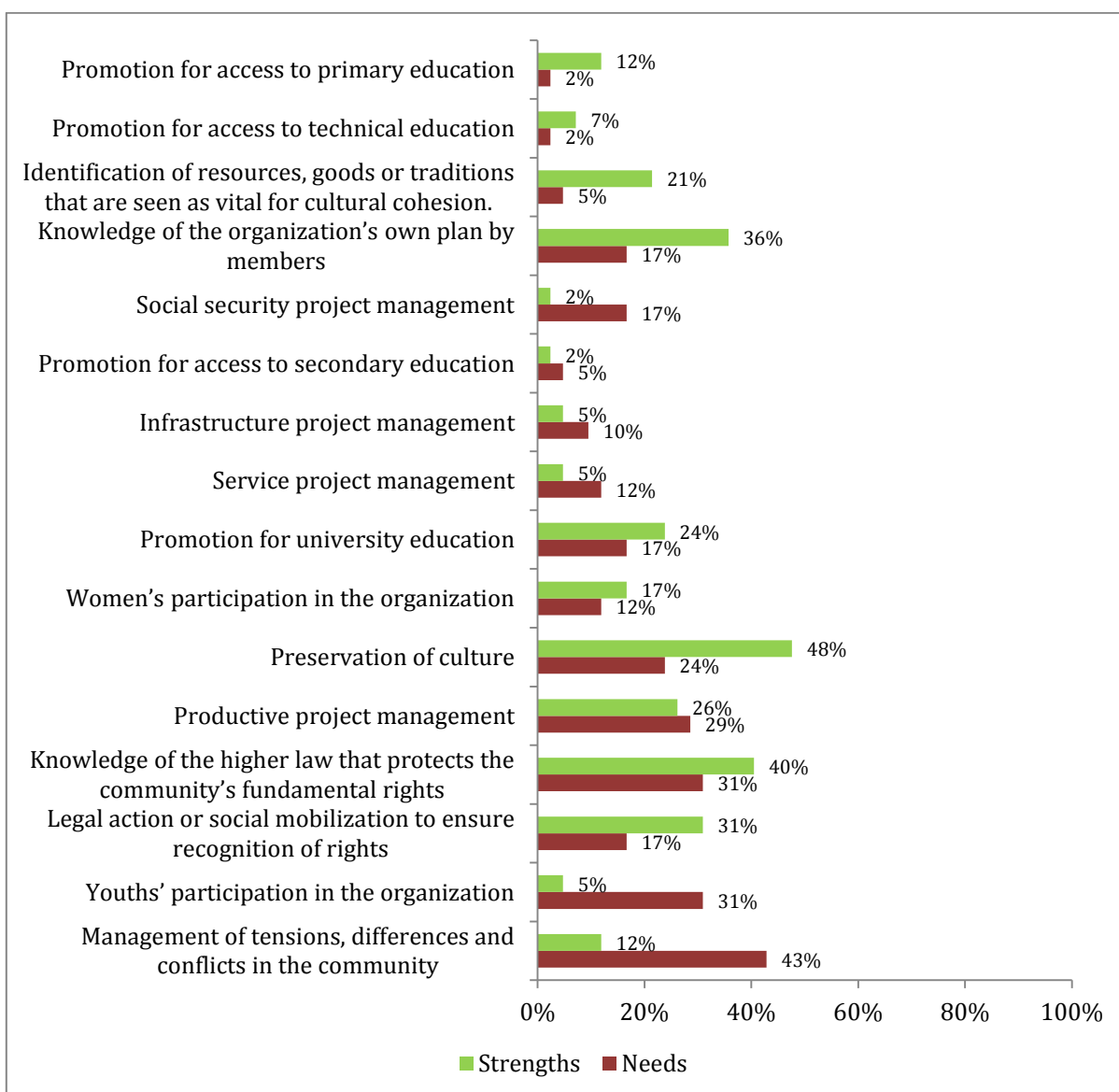
Gavilaneó Afro-Caribbean Cabildo (FUNSAREP Organization)

The low percentage (36%) given to strength in knowledge of the organization’s plan by its members is noteworthy, even more so because less than 20% of organizations marked this as a need for strengthening. The need to strengthen youth participation in the organization is deemed relevant. Women’s participation was identified as neither a strength nor a need for strengthening (less than 20% identified this item).

“If culture is forgotten, then they do not identify themselves as indigenous people, especially youths who arrive in the city. We need to prepare youth and women.”

Chocó Regional Indigenous Council

Graph 5.9 Cultural identity, social and human development, needs and strengths



Source: Baseline survey organizations June – July 2013 Econometría SA

Management and territory control

In the baseline study, the subject of territory was addressed with 24 local and regional ethnic territorial organizations.³⁹ Three of eight local indigenous organizations answered that those questions do not apply since they do not have access to any territory. Their main priority is to gain access to territories (two of those organizations are located in urban centers). The main area identified for strengthening is territorial conflict management mechanisms. It is worth noting that while 4% mentioned the Territorial Organization Plan as a strength, only 25% of the organizations see the need to strengthen this Plan as a priority.

³⁹ This dimension of the interview was not applied to CSOs, given that they do not have management or control of a territory.

“The first step to strengthen a territory is to draw a plan, we suggest the need to build capacities in these topics. With a plan, protection for cultivation zones may be strengthened. We have an urgent need to know how to protect ourselves from the State and multinationals that are present in the territory.”

Ejepenajirrawa Wayuu Traditional Authorities’ Association

The status of the ethnic territory and the cartographical demarcation are a strong capability and a need for strengthening for at least 35% of organizations.

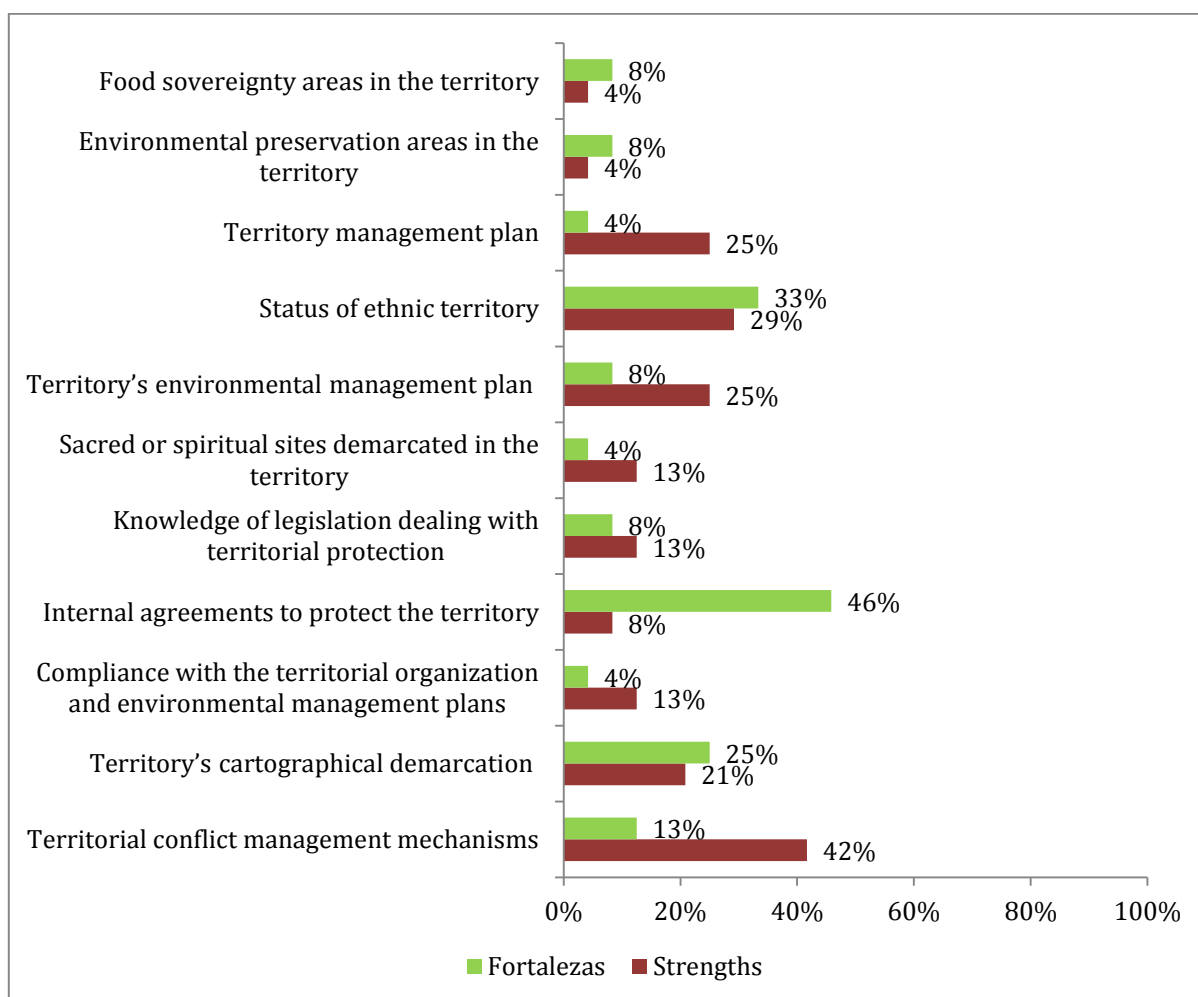
“It is a strength but also a weakness, because the government wants to ignore several things we have achieved. We must always take care of the territory’s legal status.”

Guambia Ancestral Cabildo

A small percentage of organizations (4%) noted that food sovereignty is an organizational strength and few organizations (8%) identified it as an area requiring strengthening.

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Graph 5.10 Management and territory control, needs and strengths



Source: Baseline survey organizations June – July 2013 Econometría SA

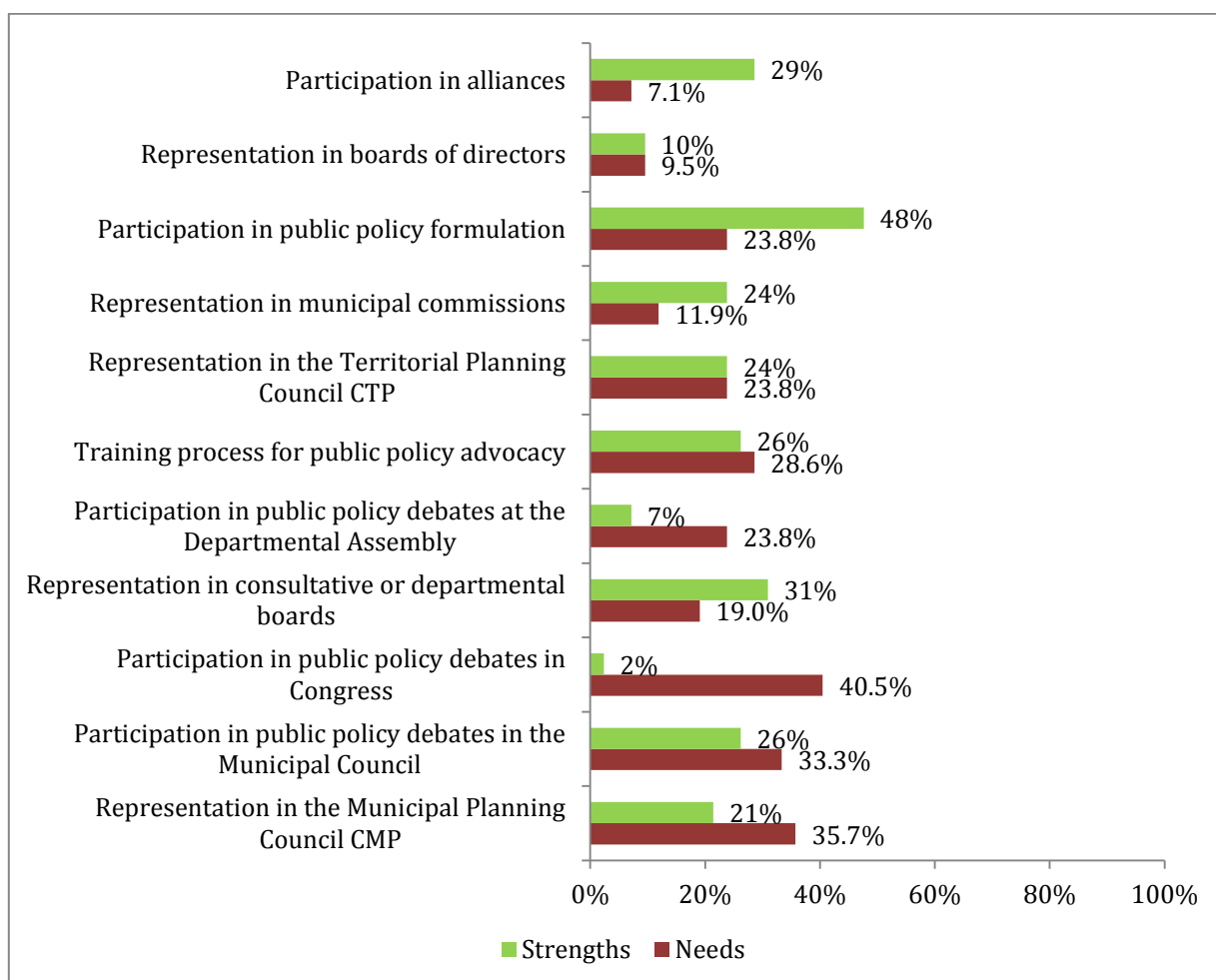
Representation

Regarding the Representation variable, strengths and needs for strengthening are quite evenly distributed among the variables. Participation in public policy debates in Congress takes precedence among the needs for strengthening. Participation in territorial institutions such as the Municipal Council, the Territorial Planning Council and the Municipal Planning Council is also relevant. It is worth noting that 30% of organizations consider training processes for public policy advocacy as an area of strength, and as a need for strengthening.

“Municipalities have not convened the Territorial Planning Councils, and do not consider them important. The Municipal Council has not created a space for debate, and if meetings are called, there are difficulties for displacement [to meetings].”

Union of Afro-Caucan Organizations UAFROC

Graph 5.11 Representation, needs and strengths



Source: Baseline survey organizations June – July 2013 Econometría SA

Advocacy (management of rights)

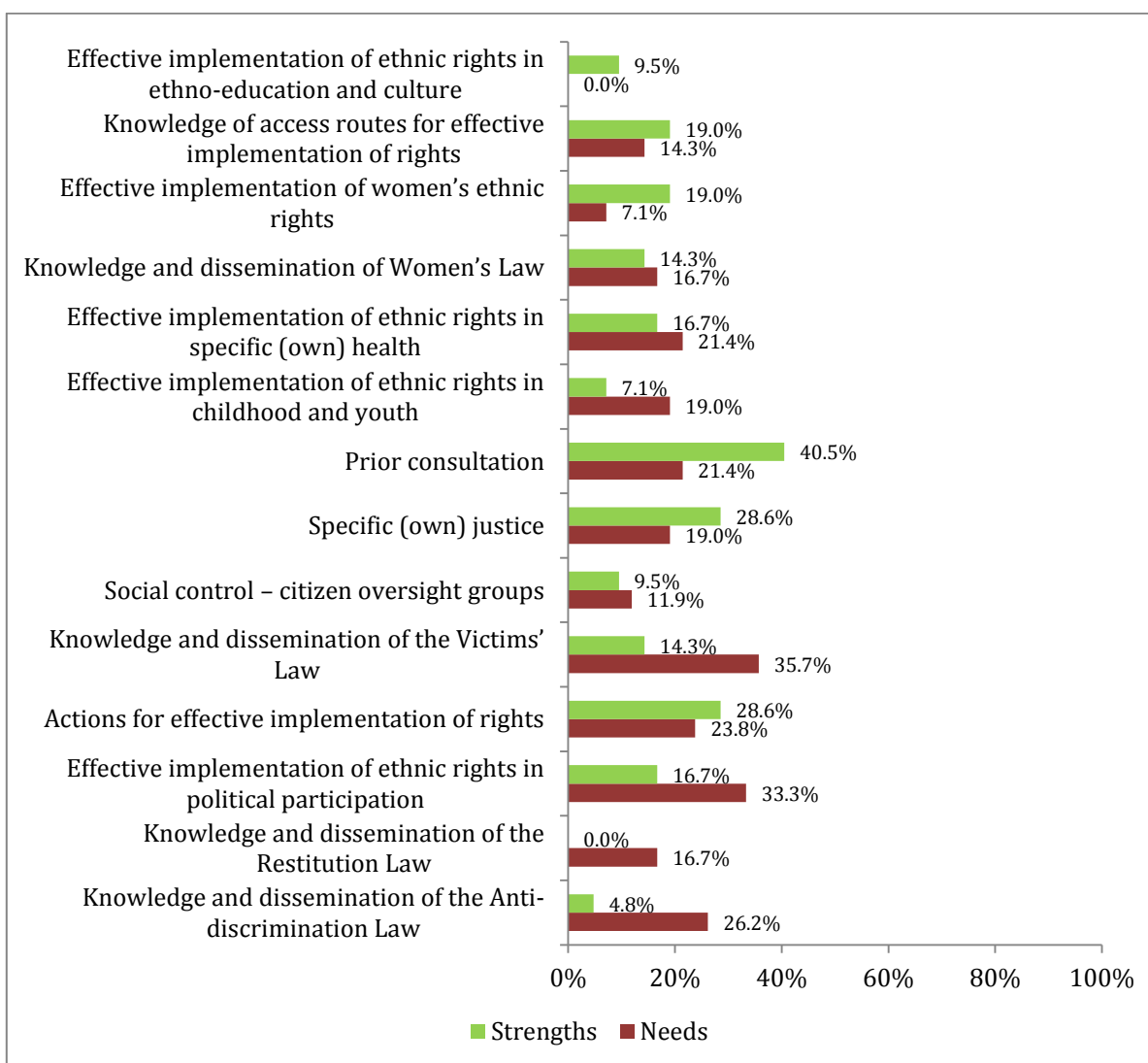
When asked about organizational strengths and needs in regards to advocacy, respondents identified a large range of areas. No clear pattern was identified. However, it is important to note that organizations identified a need for strengthening in regard to knowledge and dissemination of the Victims' Law, the Anti-discrimination Law and the Restitution Law.

"They acknowledge the need to build their capacities in topics related with the protection of rights, in order to extend them to the community and in the organization's activities."

Northern Cauca Afro-Colombian Women's Network (REDMUNORCA)

Less than 20% of organizations identified that they require strengthening in child and youth advocacy. Among 20% of organizations, the Women's Law and effective implementation of women's ethnic rights are marked as a strength and as a need for strengthening.

Graph 5.12 Advocacy (management of rights), needs and strengths



Source: Baseline survey organizations June – July 2013 Econometría SA.

Ethnic Minority Access to Economic Opportunities (R-3)

ACIP has two approaches to supporting greater economic opportunities. In urban areas, ACIP aims to enhance access to the labor market for ethnic minorities through workplace diversity protocols. In the rural areas, ACIP works to ensure that producers can compete in existing markets by strengthening value chains. CBPS- Probability of participating is similar for treatment and control groups: enough common support for future impact evaluation.

Urban

The baseline conditions of the impact variables for treatment and control urban individuals are described below. In a baseline study, it is expected that both treatment and control groups have similar initial conditions; the comparison group should represent the counterfactual of the beneficiary group (the situation not observed of the treatment group without the intervention). If significant differences between the two groups are found, these differences in initial conditions can be controlled for by applying the Difference in Difference technique at a later point in time in the impact evaluation. Annex 5 provides disaggregated data by gender and urban centers.

The training courses for the urban component of ACIP started in 2013, prior to the initiation of baseline data collection. In order to control for the potential impact of these courses, questions are included in the structured interviews related to job status in 2012 to recover initial conditions prior to the intervention.

In terms of employment status in 2012, there are no significant differences between the treatment and control groups (see Table 5.1). The only significant difference is in unemployment, which is higher among the treatment group by 90%, or 6.4% versus 3.8%. By city, for 2012 the treatment group in Bogotá presented an unemployment rate of 6.1%, in Barranquilla of 3.8% and in Cali of 9.5%. The unemployment for this communities is lower relative to the unemployment reported in Bogotá, Barranquilla and Cali for the April-June trimester of 2012 for all the population, 9.7%, 8,6% and 14.3% respectively (DANE, 2012), but follows a similar trend. 2013 employment status was different between the two groups. As the treatment group respondents are attending training courses, there is the possibility that this has affected their 2013 unemployment and employment rates. Among the urban treatment group, 2012 employment rates were lower for women in comparison to men (See later section on crosscutting themes and Annex A5).

Table 5.1 Job status among individuals in urban area

Job Status	2012			2013		
	Treatment	Control	Significant difference	Treatment	Control	Significant difference
Employment (%)	35.5	36.4		10.6	26.9	***
	(3.4)	(3.5)		(2.2)	(2.8)	
Unemployment (%)	6.4	3.8	*	3.6	9.8	**
	(1.0)	(0.8)		(0.7)	(2.2)	
Inactivity (%)	58.1	59.9		85.8	63.3	***
	(3.7)	(3.9)		(2.6)	(4.4)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey urban individuals June – July 2013 SEI S.A

Job stability is measured by the number of jobs held in a year and the proportion of months employed. There is a significant difference in the proportion of months employed in 2012

for the treatment and control groups; however, the difference is not significant in 2013⁴⁰. The number of jobs held in a year is about the same for both groups in 2012 and 2013. It is important to highlight that the variables for 2013 correspond just to the first semester of the year, before the baseline data was collected.

⁴⁰ The proportion for 2013 corresponds to the 6 months of the year at the moment of the baseline data collection.

Table 5.2 Job stability among individuals in urban area

Job Stability	2012			2013		
	Treatment	Control	Significant difference	Treatment	Control	Significant difference
Number of jobs in the year (mean)	1.6 (0.05)	1.5 (0.08)		1.3 (0.04)	1.3 (0.07)	
Proportion months employed in year	0.6 (0.02)	0.7 (0.02)	***	0.7 (0.05)	0.8 (0.03)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey urban individuals June – July 2013 SEI S.A

The quality of employment of individuals in the urban area to be intervened by ACIP is measured by the hours worked per week, as well as based on job formality - whether there is a verbal contract, healthcare insurance, retirement benefits, and taking into account the National Department of Statistics (DANE) informality definition⁴¹. From Table 5.3 it can be seen that the number of hours worked per week is significantly different in 2012 between the treatment and control groups, being higher for the latter. This difference is not significant for 2013.

Formality measures indicate similar initial conditions for both treatment and control groups in 2012. However, in 2013 there are some differences in health insurance and retirement benefits between the two groups. It is evident that the two groups have a high percentage of informality, around 50% for 2012 given the DANE definition; this rate is similar as the one reported for the 13 main metropolitan areas in Colombia, during the quarter April-June 2012, of the total occupied, 51% had engaged in informal employment (DANE, 2012). Women have a lower quality jobs (as per DANE definition) in comparison with men for 2012 (see later section on crosscutting themes and Annex A5).

Table 5.3 Employment quality individuals in urban area

Formality wage-earner worker	2012			2013		
	Treatment	Control	Significant difference	Treatment	Control	Significant difference
Hours worked per week (mean)	45.8 (1.93)	49.4 (2.45)	***	42.7 (1.78)	47.1 (1.98)	
Contract is verbal or not written (%)	57.6 (8.0)	61.7 (6.5)		51.6 (9.6)	59.9 (7.0)	
Healthcare insurance (%)	34.3 (5.9)	31.8 (5.4)		35.9 (8.3)	34.6 (4.0)	***
Retirement benefit (%)	27.3	23.3		26.2	30.0	***

⁴¹ 1. Individual employees and workers who work in establishments, business enterprises employing up to five persons in all its agencies and branches, including the employer and / or member; 2. Unpaid family workers; 3. Unpaid workers in companies or businesses of other households; 4. Domestic employees; 5. The day laborers; 6. The self-employed working in establishments up to five persons other than independent professionals; 6. Employers or employers in five workers or less; 6. Excluded are workers or government employees.

	(6.3)	(5.1)		(6.4)	(4.7)	
Informal DANE definition (%)	45.6	55.6	*	45.5	61.6	
	(4.5)	(5.4)		(10.4)	(4.5)	

Formality independent worker	2012			2013		
	Treatment	Control	Significant difference	Treatment	Control	Significant difference
Has Accounting record (%)	39.6	34.4		36.4	30.8	
	(9.5)	(9.3)		(16.3)	(6.4)	
Formal Registration (%)	10.1	0.0	***	0.0	5.7	
	(4.7)	(0.0)		(0.0)	(3.8)	
Association (%)	3.3	1.3		0.0	1.4	
	(2.5)	(1.3)		(0.0)	(1.5)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey urban individuals June – July 2013 SEI S.A.

In terms of initial conditions for monthly income, both groups are similar, around \$400,000 COP (less than US \$200 USD). According to the official poverty rate for Colombia, (poverty line \$ 228,322 COP, US \$119 a month⁴²) around 30% of both treatment and control group are under the poverty line, with no significant difference between the two groups. For 2012, the poverty rate in Colombia was of 32.7% (DANE, 2013).

Table 5.4 Income among employed individuals in urban area (constant COP 2013)

Income	2012			2013		
	Treatment	Control	Significant difference	Treatment	Control	Significant difference
Monthly income (mean)	410,436	394,629		322,894	399,606	
	(507,85)	(35,877)		(41,832)	(46,077)	
Poverty rate (%)	31.24	29.06		48.53	29.65	
	(0.05)	(0.05)		(0.08)	(0.05)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey urban individuals June – July 2013 SEI S.A

Covariate Balancing Propensity Score (CBPS) for the urban sample

This type of method identifies, with the baseline information, a match for each individual in the urban area included in the treatment group with an individual(s) in the control group.

The matching method takes into account a group of variables that characterize the individual and their environment and calculates the probability of an individual being a potential beneficiary. The objective of the methodology is to approximate a situation in which there are no differences between the two groups in terms of the individual and environmental characteristics included in the analysis, to ensure that the impacts that will be measured later are exclusively due to the ACIP interventions.

⁴² Individual urban.

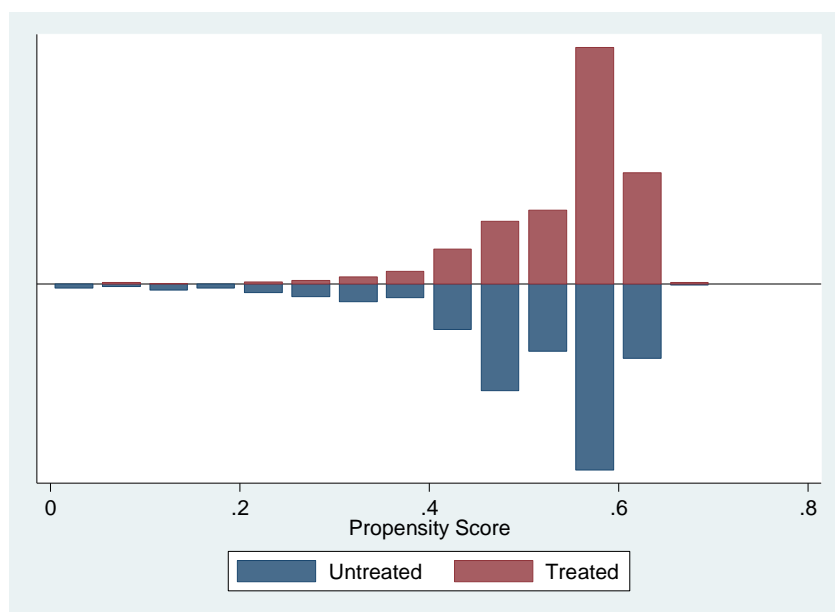
Table 5.5 describes the result of the propensity estimated under the CBPS for the urban individuals. The propensity score is estimated, such that it maximizes the resulting covariate balance, as well as the prediction of treatment assignment. The variables included are age, years of education, if he/she is head of the household, if he/she is afro-Colombian, and the number of members in the family. Furthermore, analysis includes whether he/she received employment training before and the years of experience. The Graph 5.13 shows the distribution of probabilities of participating in the urban Program for both treatment and control groups, reflecting similar distributions. The common support is of 99.6%.

Table 5.5 CBPS Urban individuals

Variable	Estimate	SE	Z-Value	Pr(> z)	Significant
(Intercept)	0.006	0.728	0.009	0.993	
Afro-Colombian	0.461	0.139	3.320	0.001	***
Head of household	-0.005	0.523	-0.009	0.993	
Age	-0.029	0.069	-0.422	0.673	
Years of education	0.024	0.077	0.305	0.760	
Training	-0.043	0.137	-0.315	0.753	
Years of experience	0.078	0.036	2.180	0.029	*
Years of experience^2	-0.006	0.002	-3.700	0.000	***
Number of family members	0.023	0.059	0.385	0.701	
Jstatistic	0.5915488				
Log-Likelihood:	-947.2127				

Source: Baseline survey urban individuals June – July 2013 SEI S.A

Graph 5.13 Distribution probability of ACIP participation for urban individuals



Source: Baseline survey urban individuals June – July 2013 SEI S.A

Rural

The baseline conditions of the impact variables for the treatment and control rural households are described below. As a baseline study, it is expected that both treatment and control groups have similar initial conditions, as the comparison group should represent the counterfactual of the beneficiary group (the situation not observed of the treatment group without the intervention). In case where there are significant differences, these differences in initial conditions can be controlled for by applying the Difference in Difference technique at a later stage in the impact evaluation. Annex 6 provides disaggregated data by ethnicity and regions.

There are no significant differences found in the monthly expenditures of the control and treatment groups. This implies that if we drew 100 samples from the population, the difference between treatment and control group will be equal to zero 99% of the time. Table 5.6 shows that the total monthly expenditure of both treatment and control households in rural area of the ACIP intervention at the time of the baseline is around \$ 1.000.000 COP (over \$ 550 USD). Differences in expenditure arise as the sample is divided among indigenous and Afro-Colombian households; expenditure is higher for the latter, in the treatment group in around \$100 USD and in the control group in around \$300 USD (see Annex A6).

The most important household expenditure is for food. It is important to note that food consumption is estimated based on both purchases and self-supply. Analysis of the percentage of food consumption that comes from self-supply shows that a greater part of the production unit for treatment households is designated for self-supply, 40% versus 27% (see Table 5.29). The percentage is higher for indigenous households, 47,9% in the treatment group and 33,5% in the control group (see Annex A6) .

Table 5.6 Monthly expenditure households in rural area

Monthly expenditure	Treatment	Control	Significant difference
Food (mean)	603,705	576,510	
	(17,114)	(15,904)	
Nonfood (mean)	375,145	388,393	
	(16,293)	(14,038)	
Other expenditure (mean)	95,015	96,306	
	(6,161)	(5,624)	
Transfers (mean)	21,562	17,003	
	(2,535)	(2,112)	
Total	1,095,428	1,078,213	
	(30,755)	(28,570)	

Proportion of consumption that is self-supply	Treatment	Control	Significant difference
Proportion self-supply (%)	40.30 (0.012)	27.19 (0.011)	***

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A

It is generally better to use expenditures to measure the well-being of low-income households, as incomes are frequently underestimated (see Meyer & Sullivan (2003)). Table 5.7 shows lower levels of income and a significant difference in monthly income between the treatment and control groups, \$520,000 COP (around \$ 290 USD) and \$600,000 COP (around \$ 330 USD) respectively. This income is lower than the reported for rural population in 2012 at the national level, approximately 800,000 COP (around \$440 USD)⁴³. In terms of difference among ethnic communities, income is higher for Afro-Colombians, approximately \$700,000 COP versus approximately \$475,000 COP for indigenous population (see Annex A6).

Around 30% of the households in both groups declare that their income covers their expenses. Using income to calculate the poverty rate (poverty line \$534,088 COP, 279 USD a month for rural households), it is estimated more than 50% of the families are under the poverty line, little over the 46,8% reported in rural areas at the national level for 2012 (DANE, 2013).

Table 5.7 Monthly income households in rural area

Monthly income	Treatment	Control	Significant difference
Income (mean)	519,508 (25,443)	599,658 (25,320)	**
Income covers expenses (%)	30.89 (2.28)	33.61 (2.31)	
Savings after expenses (%)	22.82 (3.65)	25.08 (3.57)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A

ACIP works with communities to improve food security. The Latin American and Caribbean Scale for measuring household food security (*Escala Latinoamericana y del Caribe para la medición de la seguridad alimentaria en el hogar*, ELCSA) was designed based on adaptations of instruments developed by the US Department of Agriculture in the 1990s and elements from the scale developed by Radimer/Cornell and The Community Childhood Hunger Identification Project Scale (Wehler, C., Scott, R. & Anderson, J). The scale was adapted and validated in Colombia in 2007. On a scale of 0 to 17, with 0 meaning

⁴³ See DANE (2013).

having food security, it can be seen from Table 5.8 that in the baseline, both treatment and control groups depart from a low food security level of around 10 points. This means that most of the households are suffering from severe food insecurity (around 60%). The level is much higher than the one reported in the *Encuesta Nacional de la Situación Nutricional en Colombia* (ENSIN, 2010) of both urban and rural households, which was of 3%⁴⁴. By ethnicity, the level of food insecurity is higher for Afro-Colombians in the treatment group in almost 2 points (11.2 versus 9.4) (see Annex A6).

Table 5.8 Food security households in rural area

Food security	Treatment	Control	Significant difference
Level (mean)	10.04 (0.28)	10.44 (0.26)	
Food security	7.20 (1.29)	4.89 (0.95)	
Mild food insecurity	17.34 (2.10)	16.77 (1.63)	
Moderate food insecurity	16.10 (1.76)	17.53 (1.82)	
Severe food insecurity	59.36 (2.44)	60.81 (2.26)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A

In terms of the characteristics of the household production unit, Table 5.9 shows significant differences between treatment and control groups, which will require consideration later as part of the impact evaluation. The total area is higher for the treatment group, around 14.3 hectares versus 9.4 of the comparison group. However, annual sales in 2012 were higher for the control group, over \$1,000,000 COP higher.

Table 5.9 Production unit households in rural area

Production unit	Treatment	Control	Significant difference
Total area (mean Ha)	14.33 (1.46)	9.40 (1.06)	***
Production area (mean Ha)	4.81 (0.39)	3.17 (0.24)	***
Annual sales of principal activity in 2012 (mean)	2,567,539 (212,348)	3,506,972 (392,351)	**
Sales in council or community for 2012 (%)	55.08 (2.28)	48.82 (2.74)	*
Sales in municipality for 2012 (%)	46.25 (2.39)	37.23 (2.58)	**

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

⁴⁴ Taken from MinSalud (2012).

Source: Baseline survey rural households June – July 2013 SEI S.A.

From Table 5.10 it can be seen that a greater percent of households in the treatment group have land in the last year, 5% of the treatment group versus 1.6% of the comparison group. This is a significant difference at the 99% confidence level. However, the initial conditions on community ownership of land are similar.

Table 5.10 Land tenure households in rural area

Land tenure	Treatment	Control	Significant difference
Buy land (%)	5.04	1.60	***
	(1.02)	(0.63)	
Community land (%)	5.99	8.73	
	(1.57)	(1.11)	
Sold land (%)	1.32	1.05	
	(1.08)	(0.57)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A.

While no significant differences are found in the initial savings of households, there are differences between treatment and control group in access to credit (see Table 5.11). Over 20% of the households have savings; for those in the treatment group the level is of around \$ 130,000 COP (around \$ 72 USD), while for the comparison group it is around \$ 70,000 COP. On the other hand, 20% of the households in the treatment group have credits for their production unit of around \$ 600,000 COP, while only 11% on the comparison group has credit for their production unit of just over \$ 200,000 COP.

Table 5.11 Savings and credits by households in rural area

Savings and credit	Treatment	Control	Significant difference
Has savings (%)	21.27	24.02	
	(1.98)	(2.14)	
Amount of savings (mean)	132,648	73,208	
	(30,395)	(20,088)	
Has credit (%)	20.05	11.33	***
	(2.16)	(1.56)	
Amount of credit (mean)	618,491	230,891	**
	(141,872)	(72,854)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A

A list experiment was used to analyze if rural households have been extorted or threatened by illegal armed groups. The collection of data related to this theme using household surveys presents problems in the reliability of information because interviewees often do

not give accurate responses. This reliability problem can be solved with a “List Experiment” in which the respondent does not respond directly to this issue, but indirectly through an answer on the number of events or activities that occurred over the last six months, so that the respondent doesn’t have to give information directly about exactly which activities occurred.

The logic of this methodology is based on the comparison of two groups that are built randomly into the survey: group A and group B. Group A is presented a list of events and activities which do not include actions related to illegal armed group extortion and is asked to respond with a number of events undertaken from the list. The same list is presented to group B, but the list for group B will include an additional event concerning the sensitive issue. Both groups should respond with the number of activities that have occurred without stating exactly which of them happened. By comparing the responses of these two groups in each of the questions it is possible to estimate the frequency of household extorted or threatened by illegal armed groups. These two groups A and B are selected randomly within each subgroup of the sample: treatment and control groups, in order to obtain results for these two variables for each subgroup.

The estimated proportion of households extorted or threatened by illegal armed groups are shown in Table 5.12 Total proportion is 14%. For the control group the proportion is 8% and for the treatment group it is 19%.

Table 5.12 Estimated differences in sensitive item

	Total	Treatment	Control
Estimated Proportion of Household Extorted by armed groups (%)	14 (6.0)	19.71 (10.0)	8.56 (9.74)

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A

The difference between treatment and control groups is 11 percentage points, but it is not a statistical significant difference, as is shown in Table 5.13⁴⁵.

Table 5.13 Estimated differences in sensitive item

Item Count Technique Regression	
Sensitive item	11.15 (13.96)

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A

⁴⁵Is important to highlight, that the list experiments may require a bigger sample as the one used for this baseline.

Covariate Balancing Propensity Score (CBPS) for the rural sample

This type of method identifies, with the baseline information, a match for each household in the rural area included in the treatment group with a household(s) in the control group. The method takes into account a group of variables that characterize the household and their environment and calculates the probability of being a potential beneficiary. The objective of the methodology is to approximate a situation in which there are no differences between the two groups in terms of the individual and environmental characteristics included in the analysis, to ensure that the impacts that will be measured later are exclusively due to ACIP.

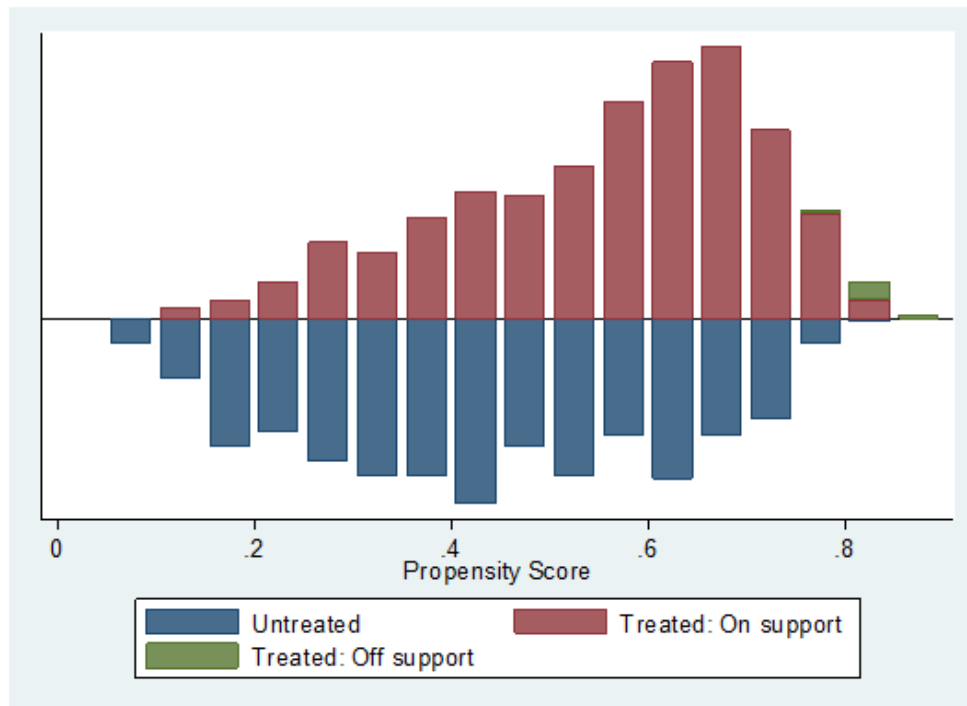
Table 5.14 presents the result of the propensity estimated under the CBPS. The propensity score is estimated such that it maximizes the resulting covariate balance, as well as the prediction of treatment assignment. The variables included are sex, age, years of education and occupation of the head of the household, number of members in the family, and the mean years of education of the family members 12 years or older. Furthermore, cooking with firewood, access to aqueduct and owning the house were included. Graph 5.14 shows the distribution of probabilities of participating in the rural Program for both treatment and control groups, evidencing similar distributions. The common support is of 99.6%. Distance to the municipal center from the production unit is included in the model, but will be left out for those observations that did not have a production unit at the time of the survey. Finally, a distribution for indigenous and Afro-Colombian population separately has been constructed.

Table 5.14 CBPS Rural households

Variables	Estimate	SE	Z-Value	Pr(> z)	
(Intercept)	-1.940	0.402	-4.830	0.000	***
Sex head of household	0.880	0.224	3.930	0.000	***
Age head of household	0.000	0.007	-0.059	0.953	
Years of education head household	0.048	0.031	1.550	0.122	
Head of household occupied last week	0.089	0.213	0.419	0.676	
Years of education family members 12 years an older	-0.113	0.042	-2.690	0.007	**
Number of family members	0.140	0.035	4.000	0.000	***
Cooking with firewood	0.555	0.215	2.590	0.010	**
Has aqueduct	-0.316	0.256	-1.230	0.217	
House	0.481	0.28	1.72	0.0857	.
J	1.422379				
Log-Likelihood:	-620.2378				

Source: Baseline survey rural households June – July 2013 SEI S.A

Graph 5.14 Distribution probability of participation in ACIP for rural households



Source: Baseline survey rural households June – July 2013 SEI S.A

Positive Messaging of Ethnic Issues (Result R-4)

ACIP increases awareness and understanding of ethnic minority issues in targeted intervention areas through the strategic dissemination of positive messages. In general, the non-ethnic population in rural areas is more likely to feel that the government is taking care of the needs of ethnic minority populations and that discrimination is low. Both the ethnic and non-ethnic populations in urban areas are the most likely to state that discrimination is a problem and that the problems of ethnic minorities are largely ignored.

The baseline conditions of the impact variables for the positive messaging component are described below.⁴⁶ Intensity to treatment analysis will be carried out, to measure the effect of the exposure of media in the Knowledge, Attitudes and Perceptions (KAP) of the ethnic communities and the non-ethnic population in urban and rural areas. KAP measurement was made through a series of questions that were made as part of the in-person interviews with the ethnic population sample of respondents in urban and rural areas. For urban and rural people not belonging to ethnic communities, a telephone survey was applied. In general, there are positive perceptions from both the ethnic and non-ethnic population in terms of diversity and inclusion, political and economic inclusion, non-discrimination and self-recognition (only for ethnic communities). Positive perceptions and attitudes are lower for the rural ethnic population.

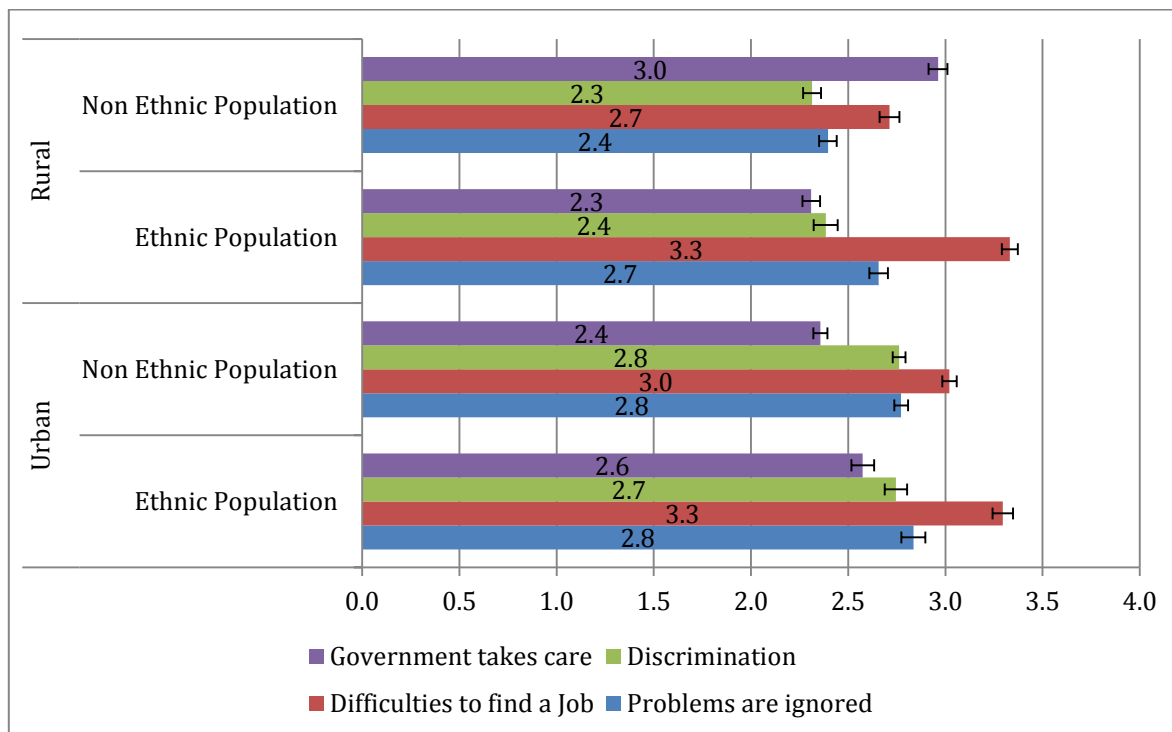
Graph 5.15 evidences perceptions of diversity and inclusion on a scale from 1 to 4 based on the frequency with which the respondent believes the situations mentioned happen in the municipality they live in, where 1 is never and 4 always. The first situation refers to the problems of the ethnic communities being ignored; the second situation reflects on difficulties for ethnic minorities in finding a job; the third situation refers to discrimination from part of the society towards afro-Colombian and indigenous people; the final situation is whether the government attends to the needs of ethnic communities.

Both urban and rural ethnic populations more frequently report the perception that ethnic communities have difficulties finding a job. The non-ethnic population has a higher perception than ethnic populations that the government frequently takes care of the needs of indigenous and Afro-Colombian populations and that their problems are almost never ignored. The urban population (both ethnic and non-ethnic) has a higher perception than the rural population that society often discriminates against ethnic communities, which reflects that this may be a bigger problem in cities.

⁴⁶ Is important for the reader to remember two important things at the moment of interpreting the results:

- Rural for non-ethnic population does not strictly correspond, as the sample was collected by phone on the same departments the surveys for ethnic population in the rural area were carried out.
- Urban ethnic population is mainly Afro-Colombian, as the urban intervention focus on attending this ethnic community in Bogotá, Cali and Barranquilla.

Graph 5.15 Diversity and inclusion of Ethnic communities, Scale of 1 to 4 (1 = “Never”, 4 = “Always”)



Confidence intervals, 95%

Source: Baseline survey urban and rural ethnic communities and rest of the population June – July 2013 SEI S.A.

Note: Scale of 1-4, where 1 is never and 4 is always.

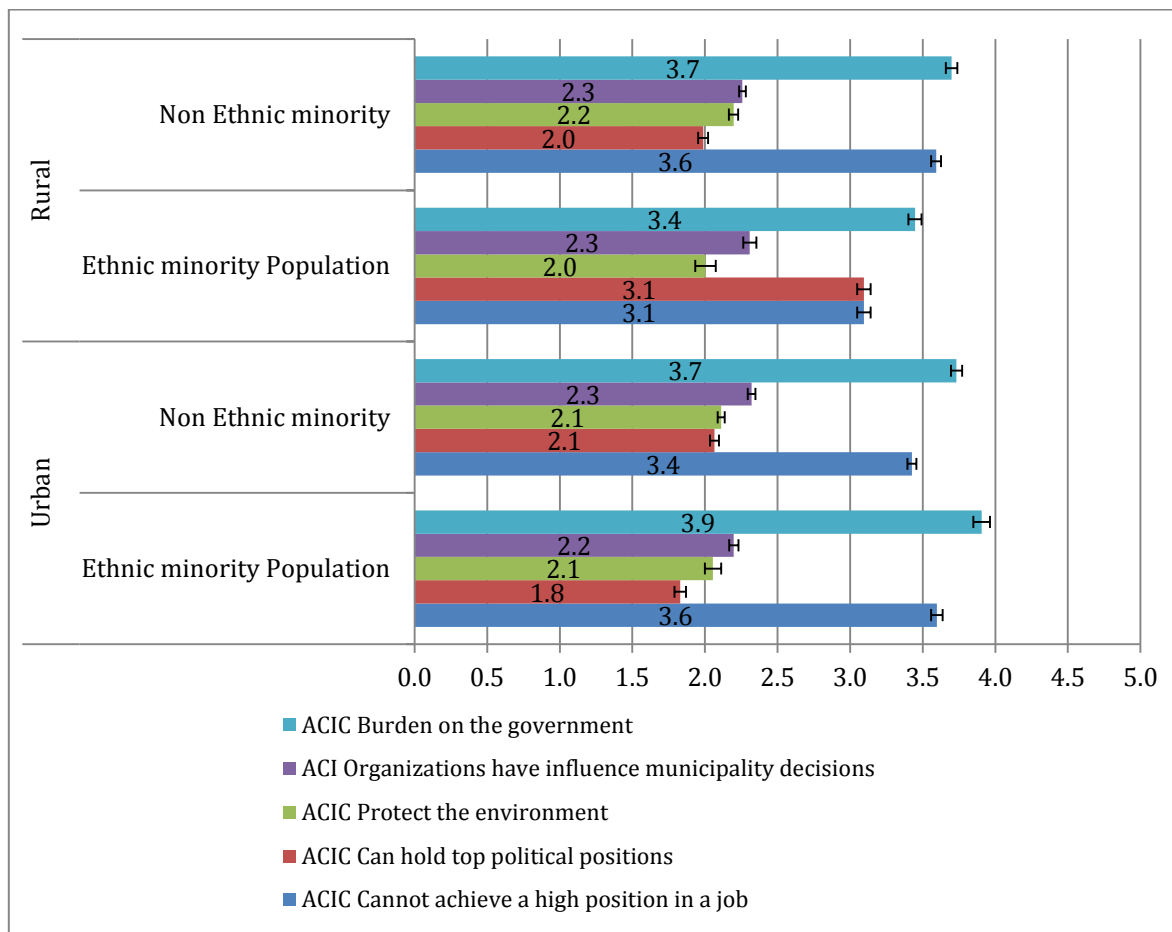
In terms of political and economic inclusion, Graph 5.16 shows the level of agreement on perceptions on political and economic inclusion between urban and rural ethnic and non-ethnic populations, where 1 is totally agree and 5 totally disagree⁴⁷.

It is evident that there is a high level of disagreement on whether ethnic communities are a burden for the Government. On the other hand, ethnic and non-ethnic populations in urban and rural areas of the study agree on believing that organizations of ethnic communities can influence municipality decisions and that indigenous and Afro-Colombians protect the environment. Differences in perceptions are found about whether ethnic communities can hold top political positions; the ethnic population in the rural area, slightly disagrees with that statement, believing that there are few opportunities for ethnic communities to gain top political positions. In addition, rural indigenous and Afro-Colombian populations believe to some degree that ethnic communities cannot achieve a high position at a job.

⁴⁷ The statements ask for level of agreement were:

- If I get a job, I **could not** have a very high position.
- Afro-Colombian and indigenous **can** have high political offices as senators and mayors.
- The collective territories **help** protect the environment.
- The Afro-Colombian and indigenous organizations **can** influence decisions made in the municipality where you live.
- The indigenous and Afro-Colombian **are a burden** for the government.

Graph 5.16 Political and economic inclusion of Afro-Colombian and Indigenous communities (ACIC), Scale of 1 to 5 (1 = “totally agree”, 5 = “totally disagree”)⁴⁸



Confidence intervals, 95%

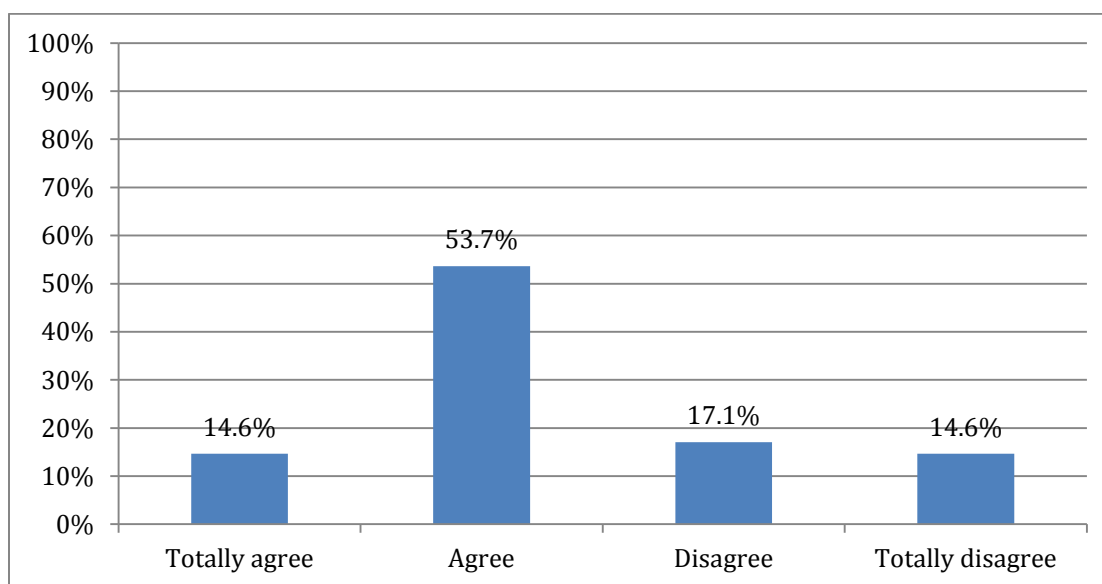
Source: Baseline survey urban and rural ethnic communities and rest of the population June – July 2013 SEI S.A

Note: Scale of 1-5, where 1 is “totally agree” and 5 “totally disagree.”

Graph 5.17 reflects responses by ethnic organization regarding their power to influence ethnic organizations on municipal decisions. Almost 70% agree they have the power to affect the decision-making in their municipality. In terms of economic inclusion, the percentage of organizations that believe that persons of the ethnic communities can achieve an income that will allow them to have a dignified life is also almost to 70%.

⁴⁸ Is important to highlight that the questions of perceptions do not have an explanation of the reason of the answer in the scale, for which is not possible to determine if people think ethnic communities are not good enough to achieve a top political or job position or there is not enough access for them to these high positions.

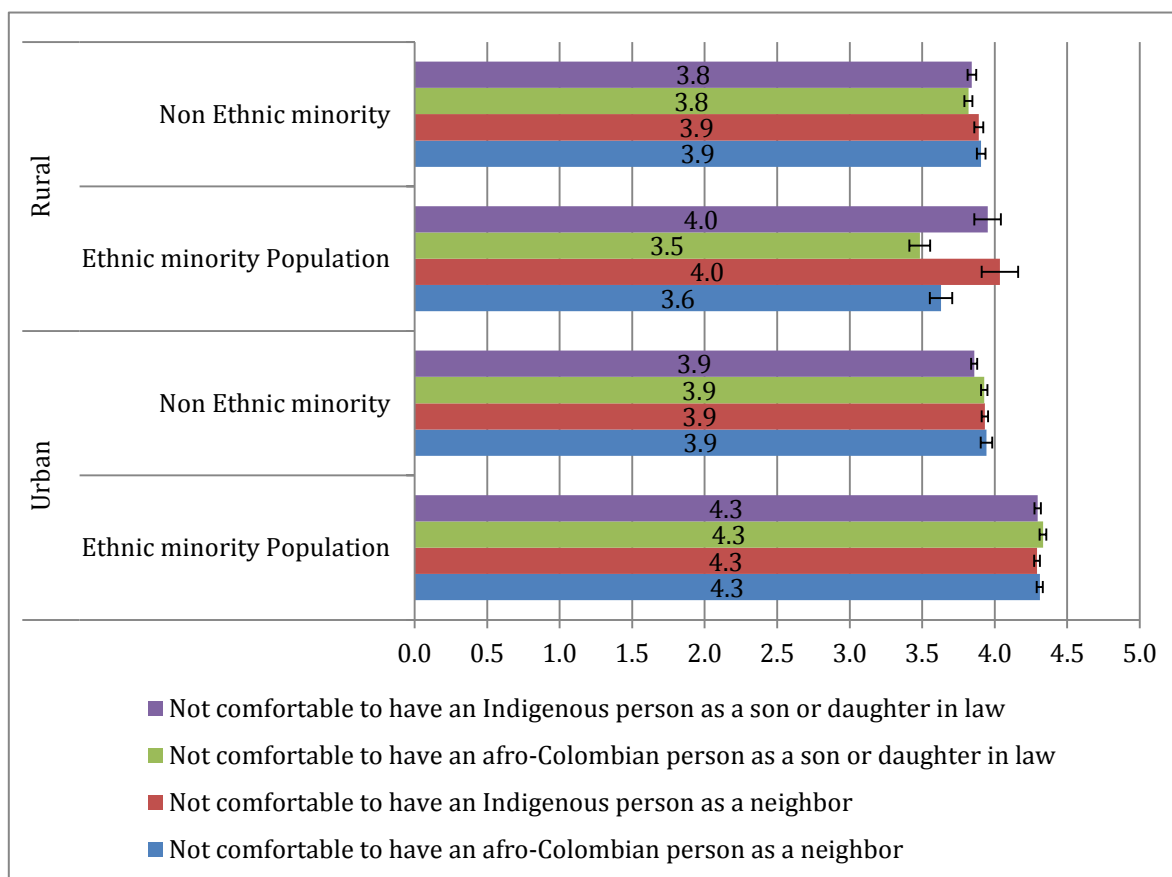
Graph 5.17 Organizations' influence on municipality decision making



Source: Baseline survey organizations June – July 2013 Econometría SA

Rural indigenous individuals surveyed (as compared to rural non-ethnic, rural Afro-Colombian, and urban respondents) were more likely to state that they would feel uncomfortable with having an Afro-Colombian as a neighbor or son/daughter-in-law. This can evidence discrimination among ethnic communities.

Graph 5.18 Ethnic Minority Discrimination, on a Scale of 1 to 5 (1 “totally agree, 5 – “totally disagree”)



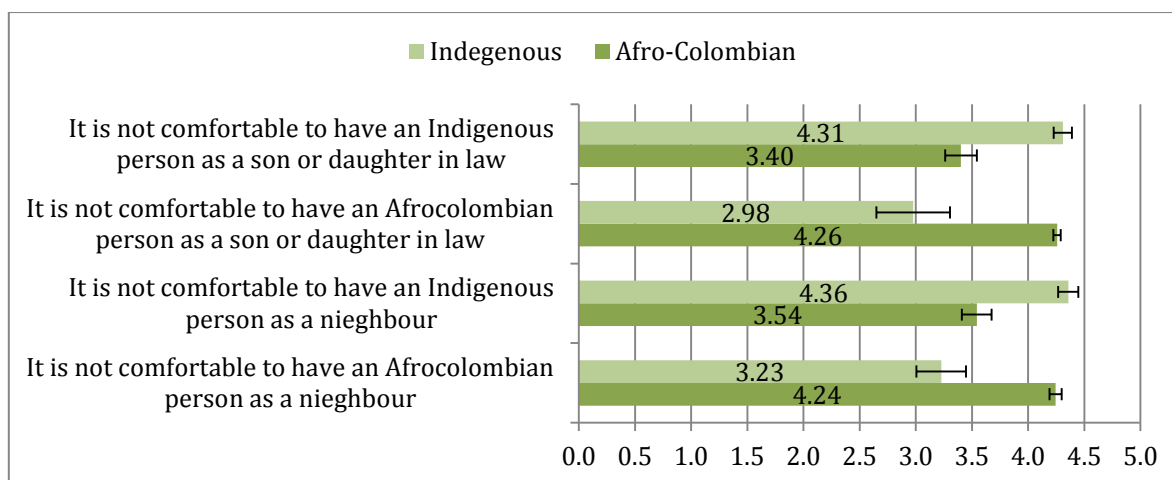
Confidence intervals.

Source: Baseline survey urban and rural ethnic communities and rest of the population June – July 2013 SEI S.A

Note: Scale of 1-5, where 1 is “totally agree” and 5 “totally disagree.”

Once the analysis is disaggregated among indigenous and Afro-Colombians, it is found that there is no intra-ethnic discrimination. However, indigenous people are more likely to feel uncomfortable with having an Afro-Colombian as a neighbor.

Graph 5.19 Ethnic Minority Discrimination, on a Scale of 1 to 5 (1 “totally agree, 5 – “totally disagree”), by ethnic group in the rural area



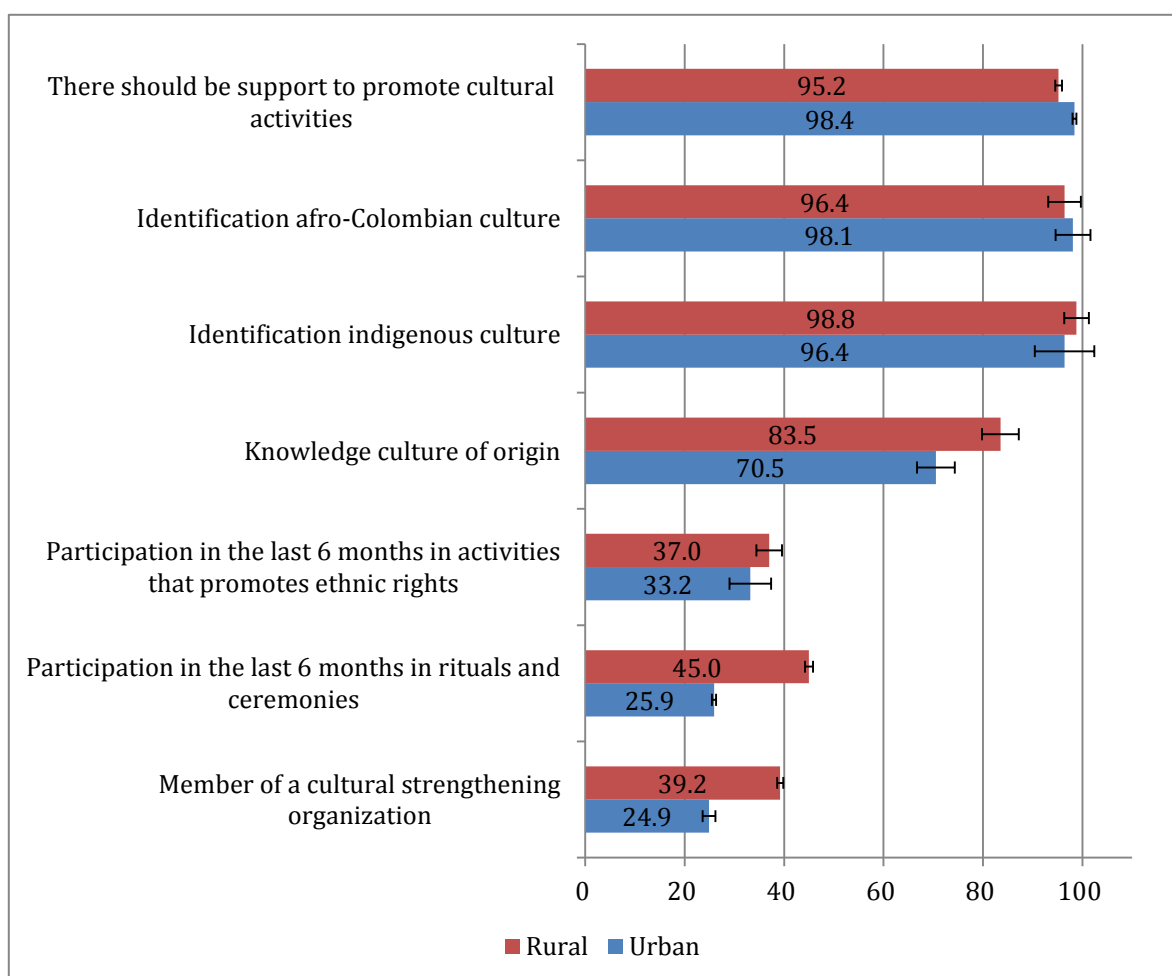
Confidence intervals.

Source: Baseline survey urban and rural ethnic communities and rest of the population June – July 2013 SEI S.A

Note: Scale of 1-5, where 1 is “totally agree” and 5 “totally disagree.”

For ethnic communities, questions regarding their self-recognition were included to capture their knowledge on their culture and attitudes in their communities. There is a high identification of Afro-Colombian and indigenous cultures and most persons highlight the importance of supporting cultural activities. The knowledge of the culture of origin is significantly higher for rural ethnic communities. Participation in activities to promote ethnic rights is low, 35%, for both rural and urban ethnic populations. Rural ethnic persons are more active in rituals and ceremonies than in being the members of organizations that promote the culture.

Graph 5.20 Knowledge (self-recognition), % answering “yes”



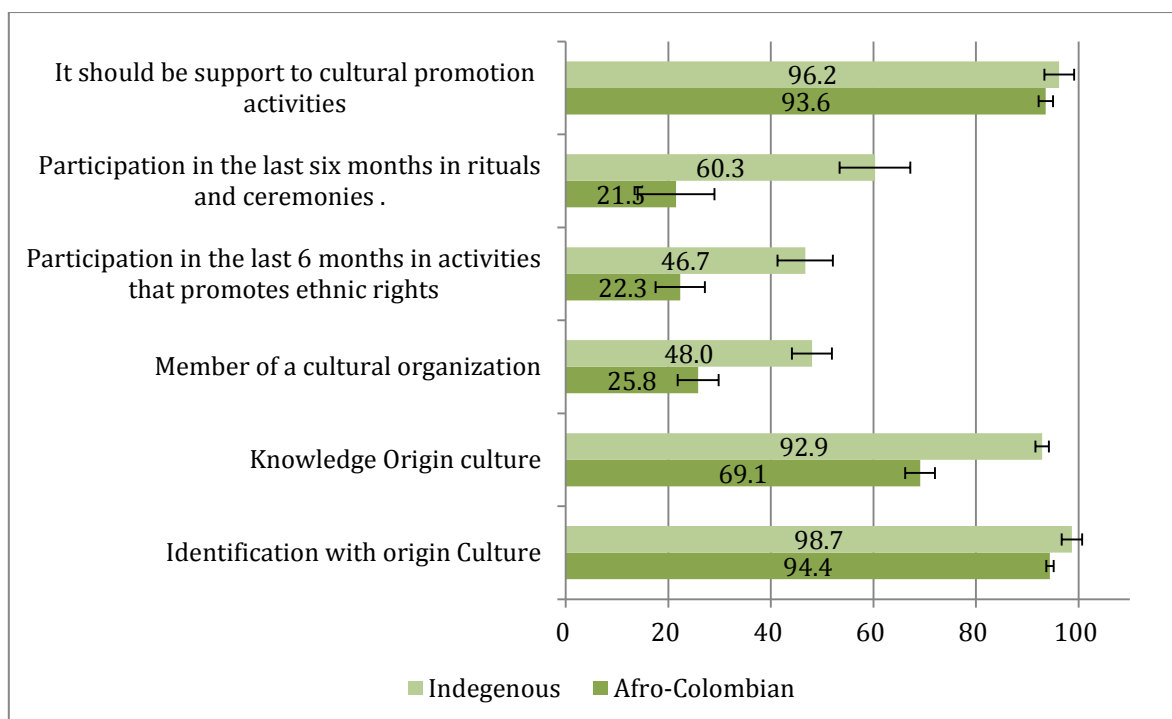
Confidence intervals.

Source: Baseline survey urban and rural ethnic communities and rest of the population June – July 2013 SEI S.A.

Note: Among ethnic minority respondents.

The indigenous population in rural areas is more likely to self-recognize as indigenous than Afro-Colombians. Indigenous people have participated more in the last 6 months in rituals and ceremonies (60% versus 21%) and in activities that promote ethnic rights (47% versus 22%) . In addition, they are more likely to be a member of a cultural organization (48% versus 26%) and know more about the origin of their culture (93% versus 69%).

Graph 5.21 Knowledge (self-recognition), % answering “yes”, by ethnicity in the rural area



Confidence intervals.

Source: Baseline survey urban and rural ethnic communities and rest of the population June – July 2013 SEI S.A.

Note: Among ethnic minority respondents.

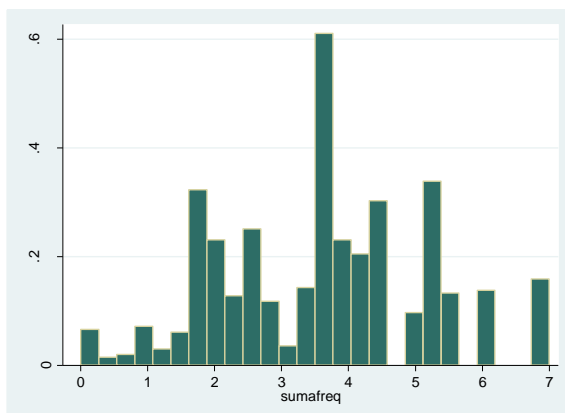
Intensity to treatment analysis

The differences in the duration of exposure to the treatment (exposure to media where the positive messages will be shown) can be used to identify the effect of the intervention.

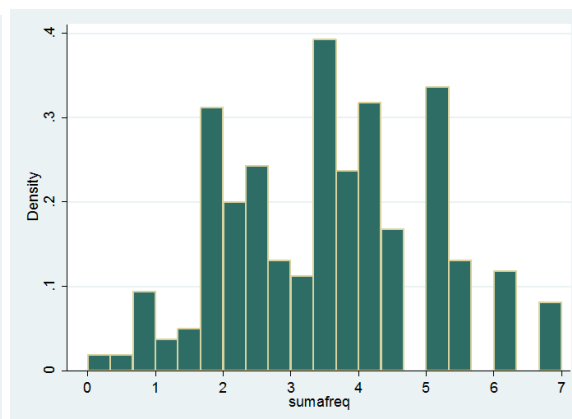
Graph 5.22 presents the frequency of media use (average days per week). For the construction of this index, people were asked of the frequency of use of radio, television, newspapers and magazines, which are the main means that will be used by the program.. As expected in the rural ethnic population the frequency of media use is lower.

Graph 5.22 Frequency of media use, averages days in a week

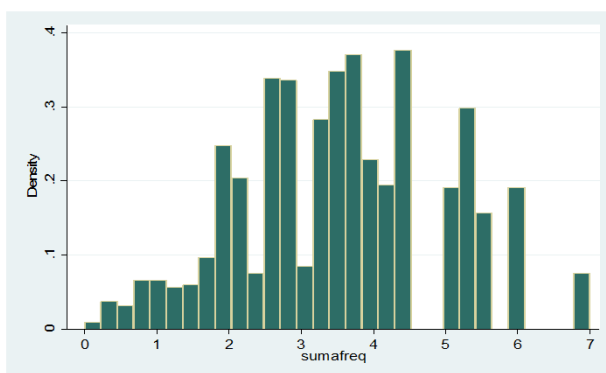
Non ethnic urban



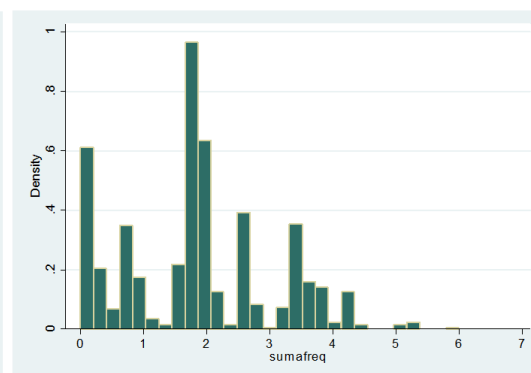
non ethnic rural



Ethnic urban



ethnic rural



Source: Baseline survey urban and rural ethnic communities and rest of the population June – July 2013 SEI S.A.

Cross Cutting Themes

As a complement to ACIP's principal lines of action, the Program incorporates cross-cutting activities in promoting gender equality and youth participation. In the indigenous territorial organizations the coincidence between the top-level positions women and men can hold is lower. Women in the urban intervention tend to have lower employment rates, are less likely to have health insurance, are more likely to be working informally and have higher rates of poverty. Women in the rural intervention, have a lower participation in production activities decisions.

The disaggregated data with regards to gender and youth, cross-cutting themes of the program, are analyzed in this section.

An analysis of youth and women participation in organizations was included for Result 2. Table 5.15 reports the coincidence in the top lead position than a women and a men can hold in the organization. The analysis is done for both adults and youth (14 to 28 years old). In general, adult women could aspire to the same positions as men; around 70% of organizations report that adult women (28 years+) can hold the same leading positions as men, such as President and Legal Representative. For youth, the situation is similar. Once a comparison among young and adults is made for both women and men, the situation changes and there is less coincidence, around 60% of organizations register young and adults could aspire to the same top positions. The difference was mentioned in some interviews, due to the lack of experience of youth.

Analysis by types of organizations reveals some important differences between the roles of men and women. In the indigenous territorial organizations there is a difference in the top-level positions women and men can hold, with women holding lower positions. This also occurs between youth and adults. For women's organizations is important to highlight that men generally do not hold lead positions, most of them will aspire to operative positions.

Table 5.15 Coincidence in leadership positions between women and men

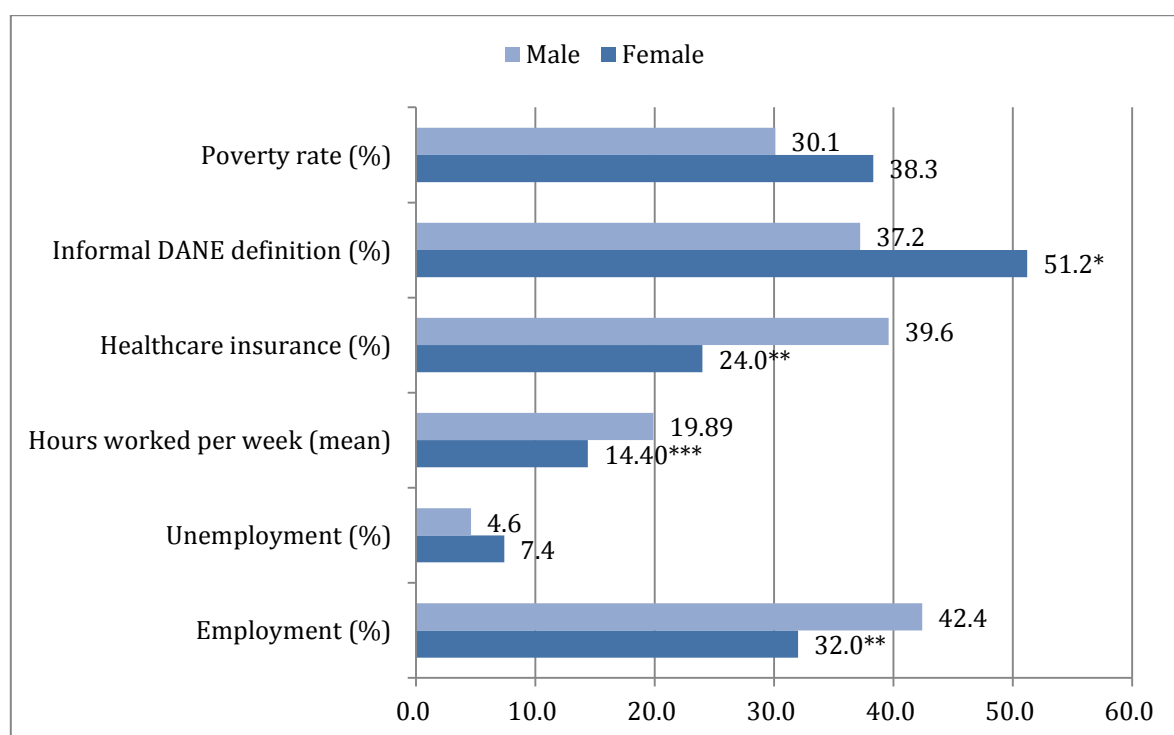
Organization Type	Coincidence in Leadership Positions Adults Women-Men	Coincidence in Leadership Positions Youth Women-Men	Coincidence in Leadership Positions Youth-Adult Women	Coincidence in Leadership Positions Youth-Adult Men
Local Afro-Colombian	100.0%	71.4%	71.4%	71.4%
Regional Afro-Colombian	83.3%	66.7%	33.3%	50.0%
Local Indigenous	71.4%	71.4%	28.6%	28.6%
Regional Indigenous	60.0%	40.0%	40.0%	60.0%
Civil society	100.0%	100.0%	77.8%	66.7%
Women	25.0%	62.5%	87.5%	87.5%
Total	73.8%	71.4%	59.5%	61.9%

Source: Baseline survey organizations June – July 2013 Econometría SA

In terms of the employment situation of the youth in the urban intervention of Result 3 (targeted group), as described before, the population was mainly informal in 2012 and they had low incomes. Once the economic conditions are analyzed among women and men, it is noticeable that women in general have a more difficult employment situation than men. Graph 5.23, evidences significant differences between men and women in the treatment sample in informality, having health insurance, hours worked and employment in 2012. 32% of women were employed in 2012 versus 42.4% of men. 51.2% of the employed women were informal, while 37.2% of men were. Women worked around 5 hours less than men did in 2012. Finally, only 24% of women employed had health insurance in comparison with almost 40% of men. While there are not significant differences in the poverty rate and unemployment between men and women, the indicators are worse for the female group. These differences in employment conditions are also found more generally

in the 13 metropolitan areas of Colombia; in 2011 67.7% of men were employed in comparison with 51,3% of women (DANE, 2013).

Graph 5.23 Urban Economic Conditions 2012, by Gender (% treatment sample)



Note: Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A

Women's empowerment was measured in the rural households analyzed for Result 3. Women's empowerment is addressed in terms of who makes the decisions for household expenditures and on productive activities,⁴⁹ land tenure and participation in organizations. Table 5.16 reflects some significant differences in women's participation in household expenditure decisions. A greater percentage of women in the comparison group participate in decisions on food, clothing, education and housing expenditures. However, for both groups the participation in the decisions related to productive activities is low, 25% and 23.5% for treatment and control groups, respectively. Differences also become apparent when disaggregating by ethnicity. In general, Afro-Colombian women are more empowered, 71.3% of Afro-Colombian women versus 46.2% of indigenous women take decisions on food expenditure in the treatment group; 34.3% of Afro-Colombian women have a say in production activity decisions in the treatment group, while only 20.5% of indigenous women do so (see Annex A6).

It is important to note that a greater percentage of the female-headed households are found on the control group (28.7% versus 11.6%, difference significant at the 99% level). This

⁴⁹ Recently, Alkire, Meinzen-Dick, Peterman, Quisumbing, Seymour, & Vaz (2013), develop a Women's Empowerment in Agriculture Index. As in not the main focus of the intervention it will not be measured, but the concept of women taking decisions on agricultural activities is taken from their conceptual framework..

factor might contribute to initial differences and thus is relevant to include in the matching process.

In terms of the participation of women in organizations, 78.7% of treatment households declare they participate in organizations, while only 63.9% of households in the comparison group report women's participation in organizations; the difference is significant at the 99% level. Finally, it can be seen that the initial conditions of households with regards to the participation in youth organizations is similar for treatment and control groups, around 55%; the young represent around 13% of the total of family members.

Table 5.16 Women empowerment households in rural area

Women empowerment	Treatment	Control	Significant difference
Food decision participation (%)	54.67 (2.42)	63.71 (2.34)	***
Clothing decision participation (%)	58.37 (2.33)	65.99 (2.30)	**
Education decision participation (%)	52.72 (2.44)	60.81 (2.38)	**
Health decision participation (%)	59.24 (2.36)	62.22 (2.37)	
Housing decision participation (%)	42.52 (2.50)	50.29 (2.44)	**
Production activity decision participation (%)	25.18 (2.22)	23.53 (2.12)	
Land tenure women lot 1 (%)	18.35 (2.07)	22.31 (2.11)	

Participation	Treatment	Control	Significance difference
Women organization	78.74 (3.41)	63.92 (2.95)	***
Youth organization	60.25 (4.39)	53.41 (3.33)	

Note: Standard error in parenthesis.

Significant difference: * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

Source: Baseline survey rural households June – July 2013 SEI S.A

Baseline Outcomes Indicators

The baseline study includes the estimation of six outcome indicators that are required for measurement in the ACIP Performance Management Plan (PMP) and are related to the evaluation questions. The baseline conditions of these indicators are presented in Table 5.17, for different levels of disaggregation. Indicator 22 on understanding of ethnic minority issues from the rest of the population has a low initial level of 27% overall. Indicator 25 of the ICAE has a baseline value of 47 on average. For the participation of

women in leadership positions, indicator 26, the initial value is of 28.6%. The value is lower for youth participation in leadership positions, 14.3% (indicator 27). The income of families in targeted rural areas in the baseline is of \$520,000 COP, lower for the indigenous population (indicator 28). Finally, the initial perceptions of ethnic persons on their political and economic inclusion, indicator 29, are higher in urban areas, 54.3%, than in rural areas, 12.1%.

Table 5.17 Baseline PMP indicators

Indicator	Description	Disaggregation	Baseline (initial conditions treatment group)	Source
22	Average percent change in proportion of survey respondents reporting improved understanding of ethnic minorities issues after the implementation of a positive messaging initiative	Total	26.8%	Baseline survey rest of the population June – July 2013 SEI S.A., calculations Econometría S.A.
		Female	26.3%	
		Male	27.7%	
		18-28	27.3%	
		29-59	29.3%	
		>60	22.5%	
		Urban	34.9%	
		Rural	13.9%	
25	Average percent change in score of assessment of state institutional capacity for attention to ethnic minority needs among targeted state institutions benefiting from ACIP support.	Total	46.9	Baseline survey State institutions June – July 2013 Econometría S.A., calculations Econometría S.A.
		National	50.5	
		Departmental	45.1	
		Municipal	45.4	
26 ⁵⁰	Average percent change in proportion of women holding leadership positions in targeted Afro-Colombian and indigenous organizations.	Total	28.6%	Baseline survey organizations June – July 2013 Econometría S.A., calculations Econometría S.A.
		Local Afro-Colombian ethnic territorial organizations	33.3%	
		Regional Afro-Colombian ethnic territorial organizations	0.0%	
		Local Indigenous ethnic territorial organizations	37.5%	
		Regional Indigenous ethnic territorial organizations	0.0%	
		Civil society organizations	55.6%	
		Women organizations	22.2%	
27 ⁵¹	Average percent change in proportion of youth holding leadership positions in targeted afro-Colombian and indigenous organizations.	Total	14.3%	Baseline survey organizations June – July 2013 Econometría S.A., calculations Econometría S.A.
		Local Afro-Colombian ethnic territorial organizations	0.0%	
		Regional Afro-Colombian ethnic territorial organizations	0.0%	
		Local Indigenous ethnic territorial organizations	25.0%	
		Regional Indigenous ethnic territorial organizations	0.0%	

⁵⁰ The indicator was constructed with the percentage number of organizations that highlighted as a strength having women holding leadership positions in the organization.

⁵¹ The indicator was constructed with the percentage number of organizations that highlighted as a strength having youth holding leadership positions in the organization.

Indicator	Description	Disaggregation	Baseline (initial conditions treatment group)	Source
		Civil society organizations	22.2%	
		Women organizations	22.2%	
28	Average percent change in estimated income of Afro-Colombian and indigenous families in targeted rural areas.	Total	\$ 519,508	Baseline survey rural households June – July 2013 SEI S.A., calculations Econometría S.A.
		Cesar and Magdalena	\$ 440,630	
		Choco	\$ 576,570	
		Afro-Colombian	\$ 680,545	
		Indigenous	\$ 436,927	
		Total	33.2%	Baseline survey urban and rural ethnic communities June – July 2013 SEI S.A., calculations Econometría S.A.
29 ⁵²	Average percent change in perceptions of Afro-Colombian and indigenous persons of their socio economic and political inclusion	Total urban	54.3%	
		Urban female	51.7%	
		Urban male	59.4%	
		Bogotá	56.0%	
		Barranquilla	57.6%	
		Cali	49.7%	
		Total rural	12.1%	
		Rural indigenous	12.8%	
		Rural afro-Colombian	10.7%	
		North	9.8%	
		Pacific	13.8%	

Source: Baseline survey State institutions, organizations, urban and rural ethnic communities and rest of the population June – July 2013 SEI S.A.

⁵² The indicator was constructed as having a positive perception on the three following questions:

- If I get a job, I **could not** have a very high position.
- Afro-Colombian and indigenous **can** have high political offices as senators and mayors.
- The afro-Colombian and indigenous organizations **can** influence decisions made in the municipality ere you live.

6. CONCLUSIONS AND RECOMMENDATIONS

This section presents the conclusions and recommendations from the baseline study of the Afro-Colombian and Indigenous Program (ACIP). Conclusions are drawn regarding the initial conditions of the population targeted by ACIP for each evaluation question stated in Table 3.1. Recommendations focus on the data collection process, the needs identified by the target population and considerations for future impact or performance evaluations.

Conclusions

To what extent has GOC attention to the needs of ethnic minorities increased? To what extent has the capacity of the GOC to protect and grant ethnic minorities their legal and political land rights increased?

- In general, public sector institutional capacity for attention to ethnic minority needs is low, with an average score of 46.9 (out of a maximum score of 100). Assuming ACIP interventions to strengthen the GOC attention to the needs of ethnic minorities is successful, follow-up evaluations should show an increase in the ICAE.
- Public sector institutions received the lowest score on the Public Policy and Planning ICAE variable. These results suggest that institutions at different levels (national, departmental and municipal) are not participating in developing laws and decrees concerning matters related to ethnic communities.
- Public sector institutions with non-ethnic majorities received the highest scores on the Information Systems, while ethnic majority institutions received the highest score for participatory management. These results suggest that the institutions have mechanisms set up to address ethnic community issues (i.e., management reports with information related to the ethnic communities and offices, formal groups and workers dedicated to addressing issues of ethnic communities). The quality of these mechanisms was not assessed.

To what extent did CBOs participate in policy design and enforcement processes? To what extent has governance improved in ethnic territories?

- Fifty percent of organizations identified a need for training for leadership roles and rotation of leadership roles.
- Organizations identified that capacity strengthening is needed in the following areas: obtaining capital for their operations; administration; and accounting.
- Ethnic Territorial Organizations identified that no or few conflict management mechanisms exist, and that they would welcome support in this area.
- Organizations identified that there are few opportunities to participate and be represented in decision making processes (i.e., Municipal Council, the Territorial Planning Council and the Municipal Planning Council) and, there is a need to be involved.
- Involvement in decision making is further hampered by low levels of knowledge regarding current policies affecting the communities (i.e., Victims', Anti-discrimination and Land Restitution Laws).

- Nearly 70% of the organizations interviewed agree they have the power to affect the decision making on their municipality.
- Ethnic and non-ethnic populations, in urban and rural areas, responded that ethnic communities' organizations could influence municipality decisions.

To what extent has ACIP increased economic opportunities for Afro-Colombian and indigenous populations? - Rural area: Program contribution to value chain sustainability and market alliances? – Urban area: To what extent has the Program increased formal employment for ethnic minorities?

- The CBPS method indicates the probability of participating in the urban and rural ACIP Result 3 interventions is similar for treatment and comparison groups. Therefore, an eventual impact evaluation could be carried out.
- Few differences were found between treatment and control groups. Those that were identified can be controlled for with the Difference in Difference method for an eventual impact evaluation.
- Prior to ACIP intervention (in 2012), employment status was similar for treatment and control groups, 35.5% and 36.4% respectively.
- There is a high level of employment informality among treatment and control groups, 45.6% and 55.6% respectively.
- Monthly income in the urban area is less than US \$200 per month, less than the monthly minimum wage.
- Among the rural households surveyed, monthly expenditures were reported to be around US \$550; this was similar for both treatment and comparison groups.
- Treatment group respondents reported greater land area (for production), lower annual sales, lower levels of monthly income and greater auto-consumption in comparison with the control group.
- Around 60% of rural households (treatment and control) reported that they experience severe food insecurity.
- There are significant differences between indigenous and Afro-Colombian rural households. Afro-Colombians reported greater expenditures and higher income than indigenous households. Yet, they also reported suffering higher levels of food insecurity.

How effective were the strategies in empowering women and youth?

- Organizations identify that women's and youth participation is low and that it needs to be strengthened. A small percentage of organizations identify women or youth in leadership positions as an organizational strength, 28.6% and 14.3% respectively. The need to strengthen youth leadership was supported widely by qualitative data.
- Among the urban treatment group, 2012 employment rates were lower for women in comparison to men
- Among treatment and comparison groups, women's participation in the decisions related to productive activities is low, 25% and 23.5% for treatment and control groups, respectively. Afro-Colombian women appear to be more empowered than indigenous women.

All the components of the program point to the final objective evidenced on the following question.

To what extent has the Program increased the socio-economic and political inclusion of ethnic minorities in the Program's targeted intervention areas?

- The initial perceptions of ethnic persons on their political and economic inclusion are higher for the urban, 54.3%, than for the rural, 12.1%. This could reflect the differences in both areas in terms to access to socio-economic and political opportunities.

Recommendations

ACIP lines of action as initial conditions were identified

- GOC institutions need strengthening in order to participate in the development of laws and decrees concerning matters related to ethnic communities.
- CBOs and Territorial Ethnic Organizations need strengthening/training in the following areas: youth and women's participation, leadership positions, leadership rotation, obtaining capital for their operations; administration; accounting, participation and representation in decision making spaces (Municipal Council, the Territorial Planning Council and the Municipal Planning Council).. They also need support to identify territorial conflict management mechanisms and to increase knowledge and dissemination of key policies that affect them (Victims', Anti-discrimination and the Restitution Laws).
- The urban ethnic population needs support to formalize its employment status
- Urban employment training should take into account differing employment status of men and women.
- Interventions should address food security and productive unit sales among rural ethnic households.
- Rural productive project interventions should take into account differing status of indigenous and Afro-Colombian households.
- Strengthen actions of self-recognition with Afro-Colombians.

Fieldwork – data collection logistics to be considered on the follow-up

- Data collection with State institutions requires time to visit various offices and staff members within each institution in order to gather all the data required under the Result 1 tool.
- It is critical to carry out data collection hand in hand with the implementing partner (ACIP) to ensure the assessment is authorized by ethnic authorities and communities. Otherwise it is necessary go through a legally required *Free Prior*

Informed Consultation Process (FPIC) to enter indigenous and afro-Colombian territories, causing long delays in the data collection process.

- Telephone interviews are not feasible for collecting data under Results 1 and 2 (i.e., state institutions and community organizations).
- Data collectors should receive cultural sensitivity training since each ethnic community is unique and has particularities.

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ANNEXES

A1. ICAEs Calculations

A2. Analysis ICAEs by type of institutions

A3. Analysis by type of organizations

A4. Comparison EOCAs and interview results

A5. Urban variables disaggregated

A6. Rural variables disaggregated

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